



NORTH AMERICAN AEROSPACE DEFENSE COMMAND

JUN 7 2019

MEMORANDUM FOR CANADA-U.S. MARITIME STAKEHOLDERS

FROM: DEPUTY COMMANDER, NORAD
250 Vandenberg Street Suite B016
Peterson AFB CO 80914-3803

SUBJECT: REVISION TO THE CANADA-U.S. (CANUS) VESSEL OF INTEREST (VOI)
LEXICON

REFERENCE: (a) NORAD AGREEMENT (28 APRIL 2006)
(b) NORAD TERMS OF REFERENCE (11 JANUARY 2017)
(c) NORAD AND USNORTHCOM GENADMIN 201753ZAPR07

ENCLOSURE: (1) CANUS VESSEL OF INTEREST (VOI) LEXICON

1. In accordance with refs (a) and (b), NORAD is designated as the managing authority of the Canada and United States (CANUS) Vessel of Interest (VOI) Lexicon. The purpose of this letter is to distribute a revision to the CANUS VOI Lexicon in ref (c) as well as establish guidance to manage the VOI Lexicon.

2. Background:

a. The CANUS VOI Lexicon is a system to facilitate the classification and reporting of maritime vessels which present a national security, law enforcement, or regulatory threat to North America. The standardized format permits a clear understanding of the threat a VOI may present and supports seamless information sharing among Canadian and U.S. agencies and departments.

b. The original CANUS VOI Lexicon was promulgated in April 2007. Since then, the U.S. National VOI Lexicon was developed leveraging the CANUS VOI Lexicon. Maritime Domain Awareness stakeholders provided feedback on the CANUS VOI Lexicon which resulted in minor revisions to the original CANUS VOI Lexicon.

c. In 2018, the U.S. National VOI Lexicon was approved and guidance was provided which directed U.S. Government agencies to begin using the newly approved U.S. National VOI Lexicon.

d. In late 2018, NORAD engaged the stakeholders identified in ref (c) to gain consensus on incorporating the changes made and approved in the U.S. National VOI Lexicon. The synchronization between the CANUS and U.S. National VOI Lexicons

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ensure that there is consistency with VOI designators within the U.S. Government and with Canadian maritime partners.

e. Management: NORAD is designated as the manager for the CANUS VOI Lexicon. Any organization with proposals for changes to the CANUS VOI Lexicon shall submit those changes to NORAD.

3. NORAD Responsibilities.


a. Upon receipt of any changes, NORAD will engage CANUS maritime partners for their feedback regarding those changes.

b. NORAD is responsible to ensure that the CANUS VOI Lexicon and the U.S. National VOI Lexicon remain synchronized. If it is determined that there needs to be a difference between these VOI Lexicons, an unused Lexicon designation will be used to record the designation. NORAD shall ensure that a VOI designation does not conflict between the CANUS and U.S. VOI Lexicons.

c. NORAD shall leverage its position as tri-chair of the Canada-U.S. (CANUS) Maritime Domain Awareness (MDA) Partnership to engage the National Maritime Intelligence-Integration Office (NMIO), Canada's Interdepartmental Marine Security Working Group (IMSWG) represented by Transport Canada (TC), participants at the Maritime Executive Roundtable (MERT), and Maritime Stakeholders Forum (MSF) to routinely review the CANUS VOI Lexicon.

4. This revision to the CANUS VOI Lexicon is effective upon receipt. The CANUS VOI Lexicon can be accessed at <https://discover.dtic.mil/>. The U.S. National VOI Lexicon can be accessed at <http://nmio.ise.gov/National-VOI-Lexicon>.

5. Additional information regarding the CANUS VOI Lexicon or change requests should be sent to n-nc.peterson.ni3.mbx.norad-j32-maritime-omb@mail.mil.



CHRISTOPHER J. COATES
Lieutenant-General, RCAF
Deputy Commander, NORAD

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CANUS VOI Lexicon Definitions

1. Category 1 – National Security

- a. Subcategory A** – Vessels that may be directly engaged in terrorism or are transporting cargo or generating revenue in support of terrorist activities
- b. Subcategory B** – Vessels that have crew members/passengers who may have some association with terrorists/terrorist activity
- c. Subcategory C** – Vessels that may be transporting weapons of mass destruction (WMD) and/or WMD-associated goods or machinery, advanced conventional weapons, or materials readily convertible into WMD
- d. Subcategory D** – Vessels that may be engaged in intelligence collection or that have a history of suspicious activity around friendly naval assets, military activities, critical infrastructure, or key resources
- e. Subcategory E** – Non allied government-controlled surface or sub-surface vessels

2. Category 2 – Law Enforcement

- a. Subcategory A** – Prohibited imports/exports – arms
- b. Subcategory B** – Prohibited imports/exports – narcotics, illicit tobacco, including precursor chemicals and intermediate product stages of narcotic production
- c. Subcategory C** – Migration – human trafficking
- d. Subcategory D** – Migration – illegal immigration including deserters, absconders, stowaways, etc
- e. Subcategory E** – Serious organized criminal activity
- f. Subcategory F** – Illegal exploitation of natural resources – illegal, unreported, unregulated (IUU) fishing
- g. Subcategory G** – Marine pollution
- h. Subcategory H** – Illegal activity associated with activist groups
- i. Subcategory I** – General maritime security – piracy, violence, stateless vessels

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j. Subcategory J – Migration – passport discrepancies

3. Category 3 – Regulatory

a. Subcategory A – Vessels causing suspicions due to irregularities over flag State, ownership, crew composition, or previous port of call

b. Subcategory B – Vessels arriving for the first time in a port of regulatory interest

c. Subcategory C – Vessels with a history of regulatory non-compliance

d. Subcategory D – Vessels transporting dangerous cargo (e.g., liquefied natural gas, International Maritime Organization Class 7 (radioactive material), high explosives)

e. Subcategory E – Vessels carrying people or cargo with dangerous or infectious pathogens that might affect public health (e.g., Ebola, Severe Acute Respiratory Syndrome)

f. Subcategory F – Vessels conducting marine research

g. Subcategory G – Vessels carrying people or cargo with dangerous or infectious pathogens that might affect agriculture. (e.g., Mad-Cow disease)

h. Subcategory H – Vessels that may be carrying invasive species or may compromise bio security

i. Subcategory I – Vessels conducting an unusual transit or those operating in or transiting an environmentally sensitive area, exclusion zone, or restricted area

j. Subcategory J – Vessels either by ownership or flag that are suspected of operating outside permitted parameters as defined by international sanctions or United Nations Security Council Resolutions

4. Threat Level Definitions

a. High (1) – Assessed as possessing the capability and intent of executing the defined threat. The threat is highly probable in the near term

b. Medium (2) – Assessed as possessing the capability and intent of executing the defined threat. Although possible, there are no indications that the threat will manifest in the near term

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c. Low (3) – Assessed as possessing the capability or intent of executing the defined threat. Although possible, there are no indications that the threat will manifest itself

d. Negligible (4) – Assessed as having some association with the defined threat; however, unlikely to possess either the capability or intent of effecting the threat

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CANUS VOI LEXICON READY REFERENCE			
<p>Abbreviated designators facilitate the easy and rapid communication of the threat posed by a VOI to the relevant maritime community of interest. The designator is a three-digit alphanumeric code consisting of the number of the category, the letter of the subcategory, and the number of the threat level. Please use the following chart in the creation of the code:</p>			
CATEGORIES			
1. National Security	2. Law Enforcement	3. Regulatory	
SUBCATEGORIES			
A. Engaged in or may be transporting cargo to support terrorism	A. Prohibited imports – arms	A. Flag State, ownership, crew composition, previous port of call	
B. Crew members / Passengers with association with terrorists / terrorism	B. Prohibited imports – narcotics, illicit tobacco including precursor chemicals	B. First time in port of regulatory interest	
C. Transporting WMD or associated materials	C. Migration – human trafficking	C. History of regulatory non-compliance	
D. Engaged in intelligence collection / history of suspicious activity	D. Migration – illegal immigration, including stowaways / absconders	D. Dangerous Cargo (e.g., liquefied natural gas, radioactive material, high explosives, ect.)	
E. Non-allied surface/ subsurface naval vessel	E. Serious organized criminal activity	E. People / cargo with dangerous / infectious pathogens – public health	
	F. Exploitation of natural resources illegal, unreported, and unregulated fishing	F. Conducting marine research	
	G. Marine pollution	G. People / cargo with dangerous infectious pathogens – agriculture	
	H. Illegal activity of activist groups	H. Invasive species, bio security	
	I. General maritime security – piracy, violence, stateless vessels	I. Unusual transit / operating in or transiting an environmentally sensitive area, exclusion zone, or restricted area	
	J. Migration – passport discrepancies	J. Sanctions / UN Security Council Resolution violations	
THREAT LEVELS			
1. High. Capability and intent of executing the threat (near-term threat)	2. Medium. Capability and intent of executing the threat (no indications of near-term threat)	3. Low. Capability or intent of executing the threat (no indications of active threat)	4. Negligible. Some association with threat; unlikely to possess either capability or intent

REPORT DOCUMENTATION PAGE

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14. ABSTRACT The CANUS VOI Lexicon is a system to facilitate the classification and reporting of maritime vessels which present a national security, law enforcement, or regulatory threat to North America. the standardized format permits a clear understanding of the threat a VOI may present and supports seamless information shairing among Canadian and U.S. agencies and departments.					
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