Report of the

# MEETING OF THE GLOBAL RECORD INFORMAL OPEN-ENDED TECHNICAL AND ADVISORY WORKING GROUP

**Rome, 23–25 February 2015**

Report of the

Meeting of the Global Record Informal Open-Ended Technical and Advisory Working Group

Rome, 23–25 February 2015

## PREPARATION OF THIS DOCUMENT

This is the report of the Meeting of the Global Record Informal Open-Ended Technical and Advisory Working Group held in Rome from 23 to 25 February 2015. The conclusions of the meeting, as agreed by participants, are an integral part of the report.

The material in the appendixes is reproduced as submitted.

### ABSTRACT

The Meeting of the Global Record Informal Open-Ended Technical and Advisory Working Group (GRWG) was held in Rome, Italy, from 23 to 25 February 2015.

At this first meeting of the GRWG, experts from member States of and observers to the FAO Committee on Fisheries (COFI) provided their view on the next steps towards the development of the Global Record as a tool to fight illegal, unreported and unregulated (IUU) fishing. Several important issues were discussed including: the terms of reference for the GRWG, scope and data requirements, system development, operational rules and data exchange mechanisms, the governance framework and the way forward.

Among other issues, the meeting agreed upon the following: (i) the Global Record fulfils a crucial role as a tool to fight IUU fishing in support of a variety of  existing binding and voluntary fisheries instruments; (ii) the function of the Global Record is not restricted to that of an authorized list of vessels; (iii) the Global Record should also include authorization, compliance and historical data, most of which should be in the public domain; (iv) States are responsible for providing information to the Global Record; (v) core specialized working groups should be established to deal with particular matters, mainly at the technical level; and (vi) a pilot version of the Global Record including participation of key partners should be developed and, if possible, presented at the Thirty-second Session of COFI in 2016 for review.

The next meeting of the GRWG will be held in the first quarter of 2016 to review advances made by the core specialized working groups and the Global Record project team.

# Contents

## ABBREVIATIONS AND ACRONYMS

| | |
|---|---|
| COFI | FAO Committee on FisheriesDG MARE Directorate-General of the European Commission for Maritime Affairs and Fisheries Commission |
| EFCA | European Fisheries Control Agency |
| FIRO | Fishing Operations and Technology Branch (FAO Fisheries and Aquaculture Department) |
| FLUX | Fisheries Language for Universal eXchange |
| GFCM | General Fisheries Commission for the Mediterranean |
| GT | Gross Tonnage |
| GRWG | Global Record Informal Open-Ended Technical and Advisory Working Group |
| IHSM | IHS Maritime and Trade |
| IMCS network | International Monitoring, Control and Surveillance Network |
| IMO | International Maritime Organization |
| INTERPOL | International Criminal Police Organization |
| IOTC | Indian Ocean Tuna Commission |
| IUU | illegal, unreported and unregulated (fishing) |
| LEGN | Development Law Branch (FAO, Legal and Ethics Office) |
| LOA | length overall |
| LR | Lloyds Register |
| MCS | monitoring, control and surveillance |
| NAFO | Northwest Atlantic Fisheries Organization |
| NEAFC | North East Atlantic Fisheries Commission |
| PSC | Port State control |
| PSMA | Port State Measures Agreement |
| RFMO | regional fisheries management organization |
| RPOAIUU | Regional Plan of Action to Promote Responsible Fishing Practices Including Combating Illegal, Unreported and Unregulated Fishing in Southeast Asia |
| SRFC | Sub-Regional Fisheries Commission |
| TC | Technical Consultation |
| TOR | terms of reference |
| UN/CEFACT | United Nations Centre for Trade Facilitation and Electronic Business |
| UN/LOCODE | United Nations Code for Trade and Transport Locations |
| UVI | Unique Vessel Identifier |
| VRMF | Vessel Record Management Framework |
| WWF | World Wide Fund for Nature |

**OPENING OF THE MEETING**

1. Mr Ari Gudmundsson, Fishery Industry Officer and Coordinator of the Global Record Programme, called the meeting of the Global Record Informal Open-Ended Technical and Advisory Working Group (GRWG) to order and welcomed the participants to FAO.

2. The meeting was attended by 14 participants from 8 countries in addition to 8 participants from intergovernmental organizations, 1 from non-governmental organizations (NGOs), 1 participant from the private sector and 11 participants from FAO as support staff. A list of participants and support staff is attached as Appendix 2.

3. Mr Árni M. Mathiesen, Assistant Director-General, Fisheries and Aquaculture Department, made an opening statement on behalf of the Director General of FAO, Mr José Graziano da Silva, reminding participants that illegal, unreported and unregulated (IUU) fishing continues to pose a global threat to the long-term sustainability of fisheries and the maintenance of healthy and productive ecosystems. He noted that a number of international binding agreements as well as soft law instruments had been adopted to prevent, deter and eliminate IUU fishing and to promote the sustainable management of fisheries resources. Mr Mathiesen highlighted that the FAO Committee on Fisheries (COFI) had repeatedly expressed its support for the Global Record's continued development by FAO and that COFI, at its Thirty-first Session in June 2014, had recognized the role of the Global Record in the concerted fight against IUU fishing. He explained that the GRWG was intended to guide the Secretariat on the continued development of the Global Record. The recommendations made by the GRWG will be non-binding. Mr Mathiesen expressed thanks to a number of donors such as Australia, the European Union (Member Organization), Iceland, the Republic of Korea, Spain, the United Kingdom of Great Britain and Northern Ireland and the United States of America that have provided financial contributions to the Global Record Programme. The opening statement is attached as Appendix 5.

**MEETING ARRANGEMENTS**

4. Mr Gudmundsson briefed the participants on the arrangements of the GRWG. He mentioned that an administrative report of the GRWG would be prepared and circulated among the participants. The GRWG would approve the conclusions of the meeting at the end the week and progress made would be reported to the Thirty-second Session of COFI.

**ELECTION OF THE CHAIRPERSON AND VICE CHAIRPERSON**

5. Mr Hector Villa, Deputy Director of Control and Inspection, Ministry of Agriculture, Food and Environment of Spain, was elected as Chairperson for the GRWG. Ms Deirdre Warner Kramer, International Fisheries Officer from the United States Department of State, was elected as Vice Chairperson. Both Mr Villa and Ms Warner-Kramer expressed their gratitude to the participants for entrusting them as the Chair and Vice Chair, respectively. Ms Warner-Kramer chaired the meeting on 24–25 February owing to the unavoidable absence of the Chairperson.

**ADOPTION OF THE AGENDA**

6. The GRWG adopted the agenda as presented in Appendix 1.

7. Mr Sidi Mohammed Cheikh from Mauritania requested time for a presentation regarding the situation of the Mauritania registry of fishing vessels and its fight against IUU fishing. The GRWG agreed to include the presentation as part of point 6 of the Agenda.

**CONSIDERATION OF THE DRAFT TERMS OF REFERENCE FOR THE GLOBAL RECORD INFORMAL OPEN-ENDED TECHNICAL AND ADVISORY WORKING GROUP**

8.      The Chairperson presented document GRWG/2015/1/3, which provided the draft terms of reference (TOR) of the GRWG.

9.      INTERPOL could not attend the meeting, but through its Project Scale Programme, it distributed comments referring to the draft TOR which were considered by the GRWG.

10.      The expert from the International Maritime Organization (IMO) suggested including in point 2 of the TOR a specific reference to collaboration with international organizations that share similar areas of work. The Port State Control regime was mentioned as an initiative in the maritime world that it would be useful to consider when developing the Global Record. Specific reference was made to the "Third FAO/IMO *Ad hoc* Joint Working Group on IUU Fishing and Related Matters" and other forms of collaboration. The expert from the North East Atlantic Fisheries Commission (NEAFC) also emphasized the importance of including a reference to collaboration with RFMOs.

11.      The TOR for the GRWG were adopted (as presented in Appendix 4), with revisions to the following paragraphs:

> "2. Provide the opportunity for expression of the views of national and regional administrations, as well as external entities, including international organizations with similar areas of work, that may cooperate with the Global Record, which may act as data providers or system users, and facilitate the exchange of practical information on their working modalities and information systems in place.
>
> 3. Put forward suggestions on data and functionality, including data exchange procedures and data formats for the Global Record.
>
> 4. Identify key issues and Member States, in particular developing States, and regions for capacity building, including identifying relevant areas for technical assistance."

**BACKGROUND, STATE OF AFFAIRS AND STRATEGY FOR THE DEVELOPMENT OF THE GLOBAL RECORD. SYSTEM PROTOTYPE DEMONSTRATION**

12.      Mr Gudmundsson presented the background to the Global Record, which is also provided in the relevant sections of the following documents: GRWG/2015/1/Inf.7; GRWG/2015/1/Inf.8; and GRWG/2015/1/Inf.4. He highlighted that the Global Record was first mentioned when the Ministerial Meeting in Rome, 12 March 2005, adopted the 2005 Rome Declaration on IUU Fishing which called, *inter alia*, for a new action to "develop a comprehensive Global Record of fishing vessels within FAO, including refrigerated transport vessels and supply vessels, that incorporates available information on beneficial ownership, subject to confidentiality requirements in accordance with national law". At the most recent session of COFI, some Members recognized the need to clarify outstanding issues and to find a solution for the long-term financing of the Global Record, which are part of the tasks of the GRWG.

13.      Ms Alicia Mosteiro, Global Record Technical Manager and Technical Secretary of the meeting, presented the state of affairs and strategy for the development of the Global Record. She referred to the strategy document presented at the most recent session of COFI (GRWG/2015/1/Inf.7 or COFI/2014/SBD.2) in revisiting the objective, approach, scope, nature, benefits, synergies, risks, stakeholders and users of the Global Record. She underlined the fact that the global information gap on the activities of the fleet was supporting IUU activities and, as a consequence, there was a need for increased transparency through a global information network. In this regard, the Global Record is considered a necessary, urgent, cost-efficient and effective global tool (programme) to fight IUU fishing. The information system, built around the Unique Vessel Identifier (UVI), would act as a one-stop-shop for all data related to the vessel.

14.     Ms Mosteiro explained that, as mentioned in the strategy document, the Global Record programme integrated three components: system development, capacity development, and awareness raising. The strategy document encompasses them all, giving priority to the design, development and implementation of the system in order to make the Global Record operational in the shortest timeframe possible. The Global Record Programme will also provide support to developing countries. Ms Mosteiro indicated that it was expected that the guidance needed to move forwards from the strategy document and COFI 31 would be provided by the GRWG. Based on the strategy document (GRWG/2015/1/Inf.7) and the background document (GRWG/2015/1/2), which provided options for discussion, Ms. Mosteiro encouraged the participants to address the issues included in the agenda for this GRWG.

15.     Ms Dawn Borg Costanzi, Systems Analyst and Developer of the Global Record Programme, presented the system prototype. She mentioned that the prototype was presented at the last session of COFI and that COFI had provided positive feedback. The purpose of her presentation was to: (i) put forward suggestions as to how the Global Record could function; (ii) showcase potential uses and benefits through an accessible and simple display; and (iii) open discussion on the approach for continued development. Ms Borg Costanzi clarified that, in order to avoid duplication of effort, FAO had been coordinating with other existing in-house initiatives, particularly the Vessel Record Management Framework (VRMF), which offers the possibility of creating multiple portals to provide different interfaces, each of which has a specific role and function. For this first prototype, the Global Record made use of data from the Indian Ocean Tuna Commission (IOTC), NEAFC, IHS Maritime and Trade (IHSM), Iceland, Mauritania and Spain.

16.     Ms Borg Costanzi demonstrated the basic functionality, focusing on data dissemination, including: (i) vessel search mechanism; (ii) overview of the various information modules and different data providers; (iii) vessel presence or absence in IUU lists; (iv) links to sample external systems; and (v) some proposed functionality that has not yet been fully implemented, such as error reporting.

17.     Mr Sidi Mohammed Cheikh presented the situation in Mauritania regarding the registry of fishing vessels and Mauritania's fight against IUU fishing. Foreign vessels fish in Mauritanian waters and information on these vessels would be very useful for Mauritania. His presentation also pointed out that the seven countries[1] party to the Sub-Regional Fisheries Commission (SRFC) had developed an information system that shard similarities with the maritime safety database. In this respect, Mauritania is willing to collaborate in this global initiative and has made a call for support from donors to enhance its register. He reminded participants of the need to provide technical assistance and capacity building to developing countries in order to enable them to integrate their information within the Global Record.

18.     Most participants underlined the fact that the Global Record should incorporate reliable data on vessels in order to function as a central repository of information and mechanism to fight IUU fishing. Participants also stressed the importance of the accountability of the data.

19.     The expert from the European Union (Member Organization) stressed that it was important to know exactly what data could be provided by IHSM[2] and requested information on the process of assigning IMO numbers to fishing vessels. He also indicated that sufficient time should be allowed for members of the European Union (Member Organization) to be able to coordinate issues related to the Global Record before attending this type of meeting. With reference to phase 1, he pointed out that with regard to presenting the first version to the international community, concrete results had to be achieved beforehand, so that the opportunity to show usefulness and to keep interest in the initiative

---

[1] Cabo Verde, Gambia, Guinee, Guinea-Bissau, Mauritania, Senegal and Sierra Leone.
[2] The company managing the IMO number on behalf of the IMO.

was not missed. Finally, he agreed that capacity building was extremely important in order for developing countries to be able to cooperate.

20.       The expert from the IMO asked some questions about the capacity of IHSM to provide information to the Global Record, particularly for phases 2 and 3. He also pointed out that any technical cooperation activities should take into account what had been already developed by the IMO.

21.       In response to these requests, the expert from IHSM provided detailed information on the management of the IMO number and answered questions raised at the meeting. Additional information was provided through two documents (available in Appendixes 6 and 7).

## SCOPE AND DATA REQUIREMENTS FOR THE GLOBAL RECORD

### Scope of the Global Record and options for the management of the UVI

22.       Ms Alicia Mosteiro presented the scope of the Global Record as per the strategy document (GRWG/2015/1/Inf.7). Summarizing, the Global Record targets inclusion of vessels of 12 m in length (or 10 GT) and takes a phased approach. It is intended to include authorization information as well as compliance information, such as IUU lists and inspection results. The major strengths of the Global Record are, *inter alia*, that it utilizes the UVI to ensure that each vessel is identified in a unique manner, thus allowing a vessel's history to be tracked accurately, and makes information publicly available regarding the identification of fishing operations, including that associated with illegal activities. Another key strength of the Global Record is that it will increase transparency of transshipment operations and refuelling at sea as it would include trusted information on refrigerated transport vessels and supply vessels.

23.       With reference to background document GRWG/2015/1/2 and agenda items 7.a. and 7.b., Ms Mosteiro invited the participants to discuss and provide further guidance on the recommendations of the 2010 Technical Consultation (TC) on the scope of the Global Record in light of the current global situation in the fight against IUU fishing, with regard to purpose, number and sizes of vessels, areas of operation, and so forth. In particular, she pointed to the inclusion of all vessels[3] of 12 m length overall (LOA) with due consideration to the characteristics of smaller vessels as included in the Recommendations of the TC. In this regard, a practical way forward could be to consider that Phases 2 and 3 would focus on vessels operating in waters outside the jurisdiction of the flag State of the vessel. Participants were also requested to provide guidance on the management of the UVI in relation to the scope of the Global Record (such as: need for a simplified procedure for fishing vessels, additional sources of information, bulk requests, smaller vessels), or indicate the need for a feasibility study and the main issues to be addressed by it. Appendix 6 presents further information provided by IHSM related to some of these issues.

24.       Participants commented on the scope of the Global Record. The Chairperson emphasized the importance of finding a compromise between incorporating as much as possible within the Global Record and the availability of resources. The Global Record could include all types of vessels operating in waters outside the jurisdiction of the flag State.

25.       Participants agreed that States were responsible for providing information to the Global Record, noting that many regional fisheries management organizations (RFMOs) might also have this information available. The RFMOs could be the source of information through delegation of authority when appropriate, as a means of facilitating the task of channelling data to the Global Record, with

---

[3] Falling under the definitions set in the Port State Measures Agreement (PSMA); thus, including refrigerated transport vessels and supply vessels.

the flag State retaining responsibility over the data. The representative of the European Union (Member Organization) thanked the Secretariat for the informative background document but indicated that there had not been enough time before the meeting to obtain the opinion of the member States of the European Union (Member Organization) on this matter and that, therefore, they might provide further comments at a later stage.

26.     The IMO representative mentioned that it would be useful for the Global Record to include information on the nationality of the crew.

27.     The expert from Iceland informed the participants that the annual meeting of Northwest Atlantic Fisheries Organization (NAFO) had adopted a proposal to allow only vessels with an IMO number to fish in its area of competence (from 1 January 2016) regardless of size, being the capacity of fishing in the high seas the main criteria for application. The expert from Japan proposed a possible intermediate step in implementing Phase 1, to first include vessels already present in RFMO lists, to reduce the initial burden on flag States. In this regard, the NEAFC representative noted that different RFMOs might use different criteria to manage records and that for that reason it would be important that this was harmonized (possibly through the Global Record) to support transparency. He also pointed to the fact that there might be a certain hesitation to obtain the information from the RFMOs.

28.     The representative of the European Union (Member Organization) recognized that, although the procedure to obtain the IMO number was free of charge, the possible administrative costs (for vessel owners) involved in obtaining documentation required to file an application for an IMO number should not be underestimated. Among his concerns were: whether IMO numbers would be free of charge also for Phases 2 and 3; whether IHSM was ready to handle IMO number bulk requests for existing vessels; and what the time frame was within which requests were handled. The Secretariat clarified, that for Phase 1, the approximate number of vessels to be included in the Global Record was estimated to be in the order of 64 000 vessels – 30 percent of these vessels already have IMO numbers (about 22 000).

29.     The expert from the IMO indicated that, in principle, it was not useful to exclude vessels operating only in the waters of their own flag State. The IMO numbering scheme is a minimum requirement; it will be up to the flag States to decide to which vessels the IMO number applies, considering the capabilities of the IHSM. He indicated that there was good collaboration between the IMO and IHSM, and that the provision of an IMO number was free and that it was obtained within a reasonable time. The limit of 100 GT for obtaining an IMO number is not restrictive from the IMO perspective, but it may be an issue for IHSM.

30.     The expert from the World Wide Fund for Nature (WWF) stressed that, for IHSM to work properly, data on vessels had to be kept up to date and that it would be necessary to evaluate whether third parties could provide IHSM with the appropriate data, apart from flag States. He also pointed out that it would be important to look into the practicalities of extending IMO numbers to handle vessels in Phases 2 and 3 (including also non-steel hull vessels) and to conduct a feasibility study for smaller vessels and vessels outside national waters. He indicated that it was unlikely that the IMO numbering scheme being handled by IHSM could apply to all three phases. Participants agreed that more information would be needed from IHSM and that a feasibility study should be conducted for Phases 2 and 3 once Phase 1 is in place. The expert from IHSM explained that the process of assigning an IMO number was very thorough for individual-level requests (mainly for 100 GT and over). The expert from IHSM explained that the company was working on developing a "non-core ships database" (as opposed to the "commercial core fleet") that would include wooden haul ships. The company has two staff fully dedicated to this task, which includes counter-checking information with flag States and other organizations. In general, IHSM needs 24 hours to deal with requests from

flag States, 3 working days for company requests, and 5 working days for individual ship requests. On average, it deals with 450 ships/requests per month. The expert from IHSM indicated that the allocation of an IMO number was not a one-time event but that it required information to be updated (history). In this regard, the company is enquiring about further sources of information.

**Review of the information modules (data fields) and data and functionality that could be useful in the fight against IUU Fishing**

31.     In line with Appendix 2 of the strategy document, Ms Borg Costanzi presented a preliminary list of information modules,[4] and related data fields, based on the envisaged requirements of the Global Record and encompassing the data requirements of other international tools, such as the Port State Measures Agreement (PSMA) in support of the fight against IUU fishing, a number of established vessel records and registers, and the experience of key contributors to the system prototype.

32.     With reference to section 7.c. of the background document, the issues to be considered for discussion were the following: (i) data fields and data definitions; (ii) which fields should be essential and which optional (thus defining the minimum requirements for including a vessel's details in the Global Record); (iii) the reference lists to be used, in addition to those already indicated in the PSMA, (e.g. FAO areas, United Nations Code for Trade and Transport Locations [UN/LOCODE], hull material, and operational status); (iv) any particular requirements for refrigerated transport vessels and supply vessels, such as authorizations for transshipment; (v) the possible confidentiality or sensitivity of certain information modules or data fields; (vi) the need or not to include vessel photos, given the potential complexity in submitting them to the Global Record; (vii) the need to start building up history or acquire it beforehand; (viii) inclusion of all inspection reports or only non-compliant cases and the outcome (administrative/criminal procedure) originating from the inspection; and (ix) the possibility of generalizing the "non-compliance" module in order to formulate a general category of apparent infringement, rather than itemizing detailed information, especially at this initial stage.

33.     With reference to section 7.d of the background document, Ms Borg Costanzi highlighted the benefits of considering a series of additional data fields such as fish-hold capacity and possibly extended ownership (beneficiaries) that would be very useful in the fight against IUU fishing and thus should be considered for inclusion. In addition to the functionalities presented, she also indicated that error reporting and links to IUU lists, Interpol Purple Notes or external systems such as EQUASIS should also be considered.

34.     Participants discussed the need to focus on the essential information as opposed to that which could be useful but not immediately required. Participants were in favour of including historical data of the vessel, including information prior to inclusion in the Global Record, authorization information as well as certain monitoring, control and surveillance (MCS) (compliance) information. Some participants noted that information such as ownership of the vessel should be protected and not publicly available. However, some participants suggested that it would be preferable at this early stage to have fewer data in the Global Record but to make all of these data available in the public domain. Annex C of the PSMA was presented as a good example of the type of core vessel information to be included in the Global Record. The representative of the WWF stressed the importance of public access to the information, and participants agreed to having as much information in the public domain as possible.

35.     The expert from the IMO underlined the importance of harmonizing inspection procedures first to improve data quality (particularly for RFMOs and based on the PSMA). Port State control

---

[4] UVI and core vessel, historical details, authorization and record of non-compliance.

(PSC) procedures, which target vessels for inspection if there is missing or erroneous information, should be considered. He also indicated that flag States would welcome information on their ships (particularly compliance information), especially if this were positive as the international community would become aware of it. The expert from the European Union (Member Organization) indicated the need to clarify who the data providers were and also proposed to allow MS/RFMOs to extract data from the Global Record for their own purposes (through web services or other).

36.     The concept of generalizing the compliance module was extensively discussed. It was suggested that it was better to refer to "inspection record" rather than to use the terms "non-compliance" or "infringement". The Secretariat reminded participants that having that type of information would help the inspectors to make a risk analysis. Participants were cautious on this point as the expert from Spain observed that each State had its own system of inspections and that an "apparent" infringement could not create prejudice against a particular vessel. The expert from the European Fisheries Control Agency (EFCA) also indicated that it was important to have immediate inspection information but that how inspectors could use that information would depend on each member State's own legislative requirements. One solution would be to start with what is already in the public domain, such as IUU lists and some MCS data. Participants agreed that IUU lists were highly relevant and already available. However, the representative of Iceland pointed out that IUU listings in general only included non-RFMO members, which might represent a deficiency in the system. He indicated that for some RFMOs the infringement list was very clear (serious infringements) but not for others. It was pointed out that abundant compliance information was available in several RFMOs but that this was not shared outside the membership. Participants agreed to also include data showing good compliance as a positive outcome of the inspection (for risk analysis, positive results are also very valuable). It was also agreed that the history of infringements (at least the criminal convictions, and possibly not the administrative sanctions) should be kept in the Global Record. The representative of NEAFC indicated that information on previous port calls and their outcome was essential for the risk assessment.

37.     The representative of the United States of America stressed that the Global Record was not intended to provide basic intelligence type of data. The data would be supporting risk assessment but not valid for prosecution (liability and legality issues), in which case, the control authorities might need to contact the flag State directly.

38.     The participants also agreed that definitions for the data fields were very important in order to fully understand at global level what information was required, how to interpret it and, at the same time, it would facilitate the exchange of information.

39.     As for the references to be used in the inspection record ("categories of infringement"), several options[5] were pointed out by participants, but it was agreed that further discussion was needed on this important and sensitive issue. One option would be to include only basic (free text) inspection information (as per PSMA Annex C) to show whether something was found to be amiss or otherwise, with contact details to obtain the full related report; however, this could defeat the purpose if information is missing, not valuable or not understandable. Another option could be to establish the categories but leave the reporting as optional. The need for further in-depth discussion on this module was repeatedly recognized, as this is an important point for enhancing harmonization of inspections at global level.

40.     In summarizing, the Vice Chair reiterated that the first emphasis should be put into having the vessels uniquely identified through the UVI, and then adding the information necessary for inspectors

---

[5] Colour scale, serious/(non-serious) infringements, (not) under investigation, UN Fish Stocks Agreement list of serious infringements, etc.

(to help identify target factors for risk analysis) and others. The expert from the NEAFC also added that it was important to identify the source of information for the identification. In this regard, port inspectors should be able to add/complement information but not replace it. He also highlighted the importance of including a photograph of the vessel, which in many instances may be the only way for an inspector to identify the vessel. The expert from the IMO indicated that it would be useful to have the obligation to have the IMO number engraved on the main frame of the vessel, to avoid modifications to it.

41.     The expert from the General Fisheries Commission for the Mediterranean (GFCM) indicated that all data available on the GFCM information systems were publicly available and that they could be shared with the Global Record. The system includes information on fish-hold capacity but lacks information on compliance. The GFCM is considering making the use of the IMO number mandatory for vessels of 15 m in length and over from 2017.

42.     At this point the Vice Chair invited the representative of IHSM to provide further information to the participants on the way the company was dealing with the increasing requests from the fishing fleets. The representative of IHSM explained that, for fishing vessels, the criteria to be checked might have to be refined. For new vessels, it is usually a straight forward procedure (information available from shipyards, certifications, etc.), but for existing vessels more time and information may be needed. The company is confident that, for phase 1, IMO numbers can be provided as per current procedures. However, the level of confidence is not the same for smaller vessels, and additional data fields may have to be added (possibly in cooperation with FAO). The representative of IHSM explained the differences between the Lloyds Register (LR) number, the IMO number and the IHSM indicator (internal feature). She also indicated the existence of an IMO Company Numbering Scheme (ownership information), similar to the IMO Ship Numbering Scheme. Further information is available in Appendixes 6 and 7.

## SYSTEM DEVELOPMENT, OPERATIONAL RULES AND DATA EXCHANGE MECHANISMS

### Data providers and system users

43.     Ms Borg Costanzi referred to section 8.a. of the background document and reminded participants that all data for the Global Record should be submitted by authorized sources (States or designated organizations) and not retrieved from the public domain. Therefore, designation of official and certified data providers for the Global Record is required (possibly involving different national agencies/administrations). In order to preserve data integrity, and to avoid data inconsistencies, the identification of a single data source for every information module is essential. Due consideration should be given to other entities (third parties) in possession of part of the information required by the Global Record, such as IHSM with regard to vessel identification, in which case a number of options may be possible as indicated in section 8.a. of the background document. With regard to refrigerated transport vessels and supply vessels, different data providers may also be necessary. Information on these vessels from third parties could initially be provided through a link to an external system, such as Equasis, which already compiles data for such vessels. The GRWG was also requested to identify any data or functionality that should be confidential, and to specify the applicable restrictions.

44.     Participants stressed the importance of the Global Record accepting only certified and reliable data. Participants recognized that States were responsible for providing valid information to the Global Record, with the core vessel information coming from the flag States.

45.     The role that RFMOs have to play in submitting information was discussed at length, with the consensus being that they could be used to channel[6] information from States to the Global Record, keeping in mind that harmonization would be required to ensure that RFMOs are in line with Global Record requirements. In addition, RFMOs would also be responsible for providing authorization information, inspection results and details related to IUU lists, when applicable. Ms Pilar Hernandez, from the GFCM Secretariat, clarified that much of this type of data was already available at the GFCM Secretariat and could be used by the Global Record. The expert from the NEAFC noted that non-fishing vessels were also included in some RFMO lists. He also added that, in practice, authorization information could come from the flag State, relevant RFMOs, coastal States, or others, and the compliance (inspections/MCS) information would come from flag, coastal or port States, relevant RFMOs, or others, depending on their role and authority/responsibility over such data.

46.     The GRWG discussed whether data provided by third parties should be accepted and how information would be verified. It was agreed that there should be further study on the possibility of including links to reliable and trustworthy third parties for additional or complementary information (meaning that these data are not submitted to the Global Record, but accessible through a link). Some participants mentioned the need to label information clearly and include disclaimers when data are provided by third party sources. It would also be important to have a system to deal with data conflicts and to identify the entity responsible for rectifying such conflicts. The possibility of setting up an editorial board for such situations was introduced, and the importance of defining validation and verification procedures was emphasized. The possibility of using third-party data in this procedure was brought up and, in this regard, the expert from Iceland proposed using IHSM data for cross-checking.

47.     With regard to system users and access, there was general consensus that data should be made public as far as possible. It was also acknowledged that national and regional legislation might make it difficult to achieve this objective. There is need for further discussion to find a balance between having smaller sets of data that are all public (possibly with instructions of where to obtain further details) and having more information but restricting a subset, once the full list of fields is decided upon. The issues of managing access and dealing with accounts, credentials and other matters were discussed from the technical, resource and policy points of view. The expert from the IMO explained that access to IMO systems was restricted and that member State representatives were able to populate and amend their own records. The expert from the United States of America proposed the inclusion of a reference to sensitive information rather than the information itself, and the expert from Spain suggested that the flag State should be responsible for any assertions of data confidentiality.

**Submission procedures, standards and mechanism for data exchange**

48.     In line with section 8.b, Ms Borg Costanzi explained that, in agreeing that all data have to be submitted to the Global Record and not actively retrieved, a set of submission rules should be defined, comprising, but not limited to: (i) the frequency of data submission; (ii) whether the full data set should be sent, or only the changes to the data since the last submission; (iii) whether the history should be submitted or generated by the Global Record system; (iv) quality control on the data submitted, specifying minimum requirements for acceptance; and (v) the requirement for submission receipts and acknowledgement of information insertion, or follow-up on error reporting.

49.     With respect to data standards, she indicated that the file formats for data submission should be predefined. Consideration should be given to XML, and specifically the United Nations Centre for Trade Facilitation and Electronic Business (UN/CEFACT) standard formulated and proposed by the

---

[6] With the purpose of reducing the burden on States when that information is the same and available in the RFMO and provided that there is delegation of authority from the State to the RFMO.

Global Record team in collaboration with the European Union (Member Organization), as per GRWG/2015/1/Inf.10, as well as spreadsheets, such as Excel, and CSV files.

50.     She added that the data exchange mechanisms (and submission procedures), by which the data will be transferred to the Global Record, were also to be agreed upon and automatized as far as possible. Consideration should be given to: web services; the Fisheries Language for Universal eXchange (FLUX) transportation layer (of the European Union [Member Organization]; manual upload of files or raw data by data providers through the Global Record website; and, potentially, e-mails.

51.     Participants agreed that data should be submitted to the Global Record and not actively retrieved, while emphasizing the importance of timeliness for updating information and identifying the source of data and date of submission. There should be a balance between real-time and annual transmission, based on information modules and who is providing the data. The expert from the European Union (Member Organization) stressed the importance of validation rules and the need to communicate them to data providers, and also highlighted the need to rationalize procedures and limit exchanges between different bodies, to reduce the likelihood of data inconsistencies. The need to devise a mechanism to identify data inconsistencies and draw up a process to handle data conflicts, with the possible creation of an editorial board, as mentioned previously, was reiterated. Equasis was put forward as a possible model.

52.     In the submission of data, the participants recognized that it was vital that predefined standards for data and data exchange be set up, limiting their number and reducing flexibility. This will require further work, keeping in mind that States have different capabilities and capacity development will be needed. The expert from Japan noted the importance of the consistency of data exchange between States, RFMOs and the Global Record, and also stressed the need to study gaps in RFMO systems.

53.     The expert from the European Union (Member Organization) emphasized the importance of the UN/CEFACT standardization process for the exchange of data in different domains, updated the group on the progress made by the FLUX project with regard to UN/CEFACT, and encouraged participation in the harmonization process as a unique opportunity to work on international standards. The need for IT systems to exploit such standards was highlighted. The expert from the European Union (Member Organization) also mentioned that the organization was working on related open-source software that would be made available upon request.

54.      The Secretariat informed the participants that the third ad hoc FAO/IMO joint working group on IUU fishing and related matters would take place in the last quarter of 2015 and would provide an opportunity for further collaboration with the IMO on those matters.

**GOVERNANCE FRAMEWORK FOR THE GLOBAL RECORD – EXPLORING ALTERNATIVES UNDER INTERNATIONAL LAW**

55.     Ms Cristina Leria, legal consultant to FAO's Fishing Operations and Technology Branch (FIRO), presented the governance framework for the Global Record, exploring alternatives under international law. The full paper (GRWG/2015/1/4) is available on the meeting webpage.[7] After a brief introduction of the need for the Global Record in addressing IUU fishing, the role of FAO in the development of a Global Record, and the binding agreements and soft law instruments supporting the establishment of the Global Record, Ms Leria presented three different legal options for the Global Record in its first phase of implementation: (i) no legal framework; (ii) voluntary guidelines for the

---

[7] www.fao.org/fishery/nems/40694/en

operation of the Global Record; and (iii) binding agreement. Advantages and disadvantages were considered under each option.

56.     Participants supported the idea of continuing the development of the Global Record without a specific legal framework in this first phase but focusing on implementation. Participants recognized that the Global Record was serving the objectives of several existing binding and voluntary fisheries instruments, such as the PSMA, but not only. Participants agreed to consider at a later stage (once the value of the Global Record has been proved) whether to develop some governance framework, recognizing that many issues would have to be decided upon before taking such a decision, and that the Global Record should not be limited in any way at this point in time, but should move ahead quickly and in a practical manner. Participants encouraged the preparation of technical guidelines as well as information documents to continue guiding the development and implementation of the tool and to assist in the definition of a suitable framework.

**THE WAY FORWARD**

57.     In reference to section 10 of the background document, participants were requested to provide guidance on: (i) the establishment of a reduced and specific core technical group of experts to follow development and implementation in a regular manner (intersession), and give technical advice related to the immediate needs of development; (ii) the formulation of a work plan comprising a pilot phase, with realistic targets and timelines, taking into account the necessary commitment and participation of data providers; and (iii) a solution for long-term financing of the Global Record programme.

58.     Participants supported the establishment of several specialized core groups, which would concentrate upon data requirements, data formats and exchange mechanisms, third-party data and possibly governance (in the future, as necessary), among other areas. It was agreed that the Secretariat would facilitate the work and call upon the relevant experts. The GRWG emphasized the importance of ensuring sufficient regional representation as well as the participation of developed and developing countries and observers in each core group. Participants recommended that alternative methods for discussion should be explored, such as virtual workspaces and, videoconferencing. The GRWG will receive updates at its next session on the progress of the technical core groups, and any issues that may require additional policy guidance to resolve will also be brought to its attention. The expert from IHSM expressed its willingness to contribute should third-party integration be agreed to.

59.     The GRWG recommended focusing on building a practical and clearly delineated system as soon as possible to show demonstrative value and proof of concept, preferably by the next session of COFI, taking into account that sufficient participation and commitment from members to provide data would be required in order to achieve this goal. The meeting recommended proceeding with a pilot programme, and some members already stated their willingness to provide publicly available data to the Global Record. The need to define the scope and focus of the pilot project was raised, with the need to choose between having more complete data for fewer information modules or having fewer data providers and a wider range of information, keeping in mind that the pilot should be used to evaluate feasibility and identify key challenges. The expert from the United States Coast Guard suggested that the pilot be designed with attention to the criteria of fleet size, structure and capability.

60.     The GRWG recognized the importance of long-term funding for the sustainability of the Global Record, including dedicated funds for capacity development. Some participants informed the group that long-term commitment was difficult given members funding procedures, which are often on an annual basis. The Secretariat informed the group of the existence of a multidonor trust fund, which could facilitate contributions.

**ANY OTHER MATTERS**

61.    No other matters were raised. Participants agreed that editorial comments to the draft report submitted in track changes would be added to the final report of the meeting. No modifications will be made to the adopted conclusions of the meeting.

**ADOPTION OF CONCLUSIONS OF THE MEETING**

62. The participants adopted the conclusions of the GRWG on Wednesday 25 February 2015 as follows:

**Conclusions of the Meeting of the Informal Open-Ended Technical and Advisory Working Group**

The meeting of the informal Open-ended Technical and Advisory Working Group of the Global Record of Fishing Vessels, Refrigerated Transport Vessels and Supply Vessels made the following observations and conclusions:

**1.    Terms of Reference**

With respect to the TOR of the GRWG the meeting adopted the following changes:

   a) "provide the opportunity for expression of the views of national and regional administrations, as well as external entities, *including international organizations with similar areas of work, that may cooperate with the Global Record* which may act as data providers or system users, and facilitate the exchange of practical information on their working modalities and information systems in place.
   b) 3.      Put forward suggestions on data and functionality, *including data exchange* procedures and data formats, useful for the Global Record.
   c) 4.      Identify key *issues* and Member States, in particular developing States, and regions for capacity building, *including identifying relevant areas for technical assistance.*"

**2.    Capacity building/technical assistance:**

The GRWG noted the need to provide technical assistance and capacity building to developing countries in the developing of the Global Record.

**3.    Scope**

The GRWG agreed that FAO should initiate work on Phase 1 as defined. The GRWG also considered having the first stage of Phase 1 incorporate vessels already included on RFMO lists. A feasibility study was considered as the best option for Phases 2 and 3, particularly with regard to the application of the UVI.

**4.    Data requirements**

The GRWG recognized the need for review of the information modules (data fields) and definitions. In this regard, there is a need to identify what the essential information is as opposed to the kind of data that could be useful but not immediately required.

The GRWG recognized the importance of maintaining historical data of the vessels, including information prior to inclusion into the Global Record, authorization information and certain MCS information related to inspections, considering also the value of recording inspections with positive results. The GRWG agreed on the relevance of availability of inspection history but more work may need to be conducted to develop reference lists.

The GRWG agreed that most of the information should be in the public domain with further analysis on the advantages and disadvantages of including additional information that might require more restricted access in order to protect confidentiality, in particular inspection results.

## 5. Data and functionality that could be useful in the fight against IUU fishing

The GRWG recognized the importance of maintaining the collaboration with the IMO and IHSM, as well as collaboration with RFMOs, in particular with respect to information contained in IUU listings.

## 6. System development, operational rules and data exchange mechanisms

The GRWG recognized that States were responsible for providing information to the Global Record, which is consistent with the recommendation of COFI 31. The GRWG agreed that additional analysis should examine having data channelled through RFMOs, recognizing that that would also require work within the RFMOs to harmonize standards and data exchange mechanisms.

The GRWG emphasized the importance of timeliness of updating information and identifying the source of data and date of submission. There is the need to find a way to identify data inconsistencies and draw up a process to handle data conflicts, with possible creation of an editorial board, keeping in mind that of Equasis as a possible model. There should be further study on the possibility of including links to third parties for additional or complementary information.

In the submission of data, the GRWG recognized that it was vital that predefined standards for data and data exchange be set up, limiting their number and reducing flexibility, which requires further work, keeping in mind States with different capabilities and the need for capacity development. The GRWG suggested taking into consideration international standards for exchange of fisheries data.

## 7. Governance framework for the Global Record

The GRWG considered the different options presented in the document GRWG/2015/1/4 and decided that at the moment there was no need to pursue the development of a binding agreement for the Global Record. The GRWG recognized the potential of the Global Record in serving the objectives of the existing binding and voluntary fisheries instruments.

The GRWG emphasized the importance of ensuring that the Global Record was developed to a stage where it would be recognized for its value before considering a governance framework. However, the GRWG encouraged the preparation of technical guidelines as well as information documents to assist in the definition of a suitable framework.

## 8. The way forward

The GRWG supported the establishment of several specialized core groups as needed, such as focusing on data requirements, data exchange and third-party data. The Secretariat will facilitate this work and call upon the relevant experts. The GRWG emphasized the importance of ensuring sufficient regional representation as well as the participation of developed and developing countries and observers in each core group. In addition, the GRWG recommended that alternative methods for discussion should be explored such as virtual workspaces, videoconference, etc. The technical core groups will keep the GRWG advised of their progress, including noting any issues that may require additional policy guidance to resolve.

The GRWG recommended focusing on building a practical and simple system as soon as possible to show demonstrative value, and preferably by the next session of COFI, taking into account that sufficient participation and commitment from members would be required in order to achieve this goal. The GRWG recommended proceeding through a pilot, and some members stated their willingness to provide publicly available data to the Global Record.

The GRWG recognized the importance of long-term funding for the sustainability of the Global Record, including dedicated funds for capacity development. The Secretariat informed the group of the existence of a multidonor trust fund, which could facilitate contributions.

**DATE AND PLACE OF THE NEXT MEETING OF THE GLOBAL RECORD INFORMAL AND OPEN ENDED WORKING GROUP**

63.     The GRWG agreed to reconvene the full group early the following year in preparation for COFI. In the meantime, specialized core working group meetings will be held on a regular (need-be) basis.

**CLOSURE OF THE MEETING**

64.     On behalf of the Secretariat, Mr Gudmundsson expressed his gratitude to all the participants, in particular the Chair and Vice Chair.

65.     The acting Chairperson thanked the Secretariat and all the participants for the preparatory work and the excellent discussions during the meeting and declared the meeting closed at 17:00 hours on 25 February 2015.

**APPENDIX 1**

## AGENDA AND TIMETABLE

### Monday, 23 February 2015

*Morning, 09:30 hours*

1. Opening of the meeting

    a. Welcome address by Mr. Árni Mathiesen, Assistant Director-General, Fisheries and Aquaculture Department

2. Arrangements for the meeting

3. Election of the Chairperson and Vice-Chairperson

4. Adoption of the agenda

5. Consideration of the draft terms of reference for the Global Record Informal Open-Ended Technical and Advisory Working Group

6. Background, state of affairs and strategy for the development of the Global Record. System prototype demonstration.

7. Scope and data requirements for the Global Record

    a. Scope of the Global Record

    b. Options for the management of the Unique Vessel Identifier (UVI)

    c. Review of the Core Information Modules (data fields)

    d. Data and functionality that could be useful in the fight against IUU fishing.

### *LUNCH*

*12:30 - 13:30 hours*

7. Continued

*Closing, 17:30 hours*

### Tuesday, 24 February 2015

*Morning, 09:00 hours*

8. System development, operational rules and data exchange mechanisms

    a. Data providers and system users

    b. Submission procedures, standards and mechanisms for data exchange

### *LUNCH*

*12:30 - 13:30 hours*

8. Continued

**Wednesday, 25 February 2015**

*Morning, 09:00 hours*

9. Governance framework for the Global Record – Exploring alternatives under international law

*LUNCH*

*12:30 - 13:30 hours*

10. Continued

**Thursday, 26 February 2015**

*Morning, 09:00 hours*

11. The way forward

    a. Establishment of the Global Record Core Technical Group

    b. Roadmap for the functioning of the Global Record

    c. Consideration of a funding mechanism to support the development and management of the Global Record (options for the long-term financing)

*LUNCH*

*12:30 - 13:30 hours*

**9.** Continued

**Friday, 27 February 2015**

*Morning, 09:00 hours*

12. Any other matters

13. Adoption of conclusions of the meeting

14. Date and place of the next meeting of the Global Record Informal Open Ended Working Group

15. Closure of the meeting

## LIST OF PARTICIPANTS

Mr Sidi Mohammed CHEIKH
Ministry of Fisheries of Mauritania
E-mail: sidmcheikh@yahoo.fr

Ms Alessia Maria D'APUZZO
EU Delegation (Rome)
E-mail:
Alessia-Maria.D'APUZZO@eeas.europa.eu

Mr Trevor DOWNING
World Wide Fund
E-mail: tdowning@tjdconsult.co.uk

Mr Kristján Freyr HELGASON
Ministry of Industry and Innovation of Iceland
E-mail: kristjan.freyr.helgason@anr.is

Ms Pilar HERNÁNDEZ
General Fisheries Commission for the
Mediterranean
E-mail: pilar.hernandez@fao.org

Mr Matthew HOOPER
New Zealand Ministry of Foreign
Affairs and Trade
E-mail: matthew.hooper@mfat.govt.nz

Mr Jón Erlingur JÓNASSON
Permanent Representative of Iceland to the United
Nations Agencies in Rome
E-mail: jej@mfa.is

Mr Alexandre KEMPFF
European Fisheries Control Agency
E-mail: alexandre.kempff@efca.europa.eu

Mr Lefdhal LEMENIE
Mauritania Coast Guard Agency
E-mail: cerelafdal@yahoo.fr

Ms Marta LÓPEZ
Ministry of Agriculture of Spain
MAGRAMA
E-mail: mlopez@magrama.es

Mr Brice MARTIN-CASTEX
International Maritime Organization
E-mail: bmcastex@imo.org

Ms Cheri McCARTY
US National Oceanic and Atmospheric
Administration
E-mail: cheri.mccarty@noaa.gov

Mr Joao NEVES
North East Atlantic Fisheries Commission
E-mail: joao@neafc.org

Ms Mi NGUYEN
Deputy Permanent Representative of Canada to
FAO
E-mail: mi.nguyen@international.gc.ca

Mr Alexander OKHANOV
Alternate Permanent Representative of the Russian
Federation to FAO
E-mail: rusfishfao@mail.ru

Mr Ryo OMORI
Alternate Permanent Representative of
Japan to FAO
E-mail: ryo.omori@mofa.go.jp

Ms Isabel PARRA
Ministry of Agriculture of Spain
MAGRAMA
E-mail: iparrasa@magrama.es

Mr Thierry REMY
EC DG MARE –Integrated Fisheries Data
Management Unit
E-mail: thierry.remy@ec.europa.eu

Mr Daniel SCHAEFFER
United States Coast Guard
E-mail: Daniel.E.Schaeffer@uscg.mil

Mr Giuseppe SPERA
EC DG MARE - Fisheries Policy and Aquaculture
Unit
E-mail: giuseppe.spera@ec.europa.eu

Ms Ana Fraile VASALLO
EU Delegation (Rome)
E-mail: ana.fraile-vasallo@eeas.europa.eu

Mr Héctor VILLA
Ministry of Agriculture, Food and Environment of
Spain
MAGRAMA
E-mail: hvillago@magrama.es

Ms Deirdre WARNER-KRAMER
US Department of State
Office of Marine Conservation, International
Fisheries Officer
E-mail: warner-kramerdm@state.gov

Ms Ashlee WILLIAMS
IHS Maritime
E-mail: ashlee.williams@ihs.com

**FAO**

Mr Árni M. MATHIESEN
Assistant Director-General
Fisheries and Aquaculture Department
E-mail: Arni.Mathiesen@fao.org

Mr Francis CHOPIN
Branch Chief and Senior Fishery Officer
Fishing Operations and Technology Branch
E-mail: frank.chopin@fao.org

Mr Blaise KUEMLANGAN
Chief
Development Law Service
E-mail: blaise.kuemlangan@fao.org

Mr Ari GUDMUNDSSON
Fishery Industry Officer
Fishing Operations and Technology Branch
E-mail: ari.gudmundsson@fao.org

Ms Annick Van Houtte
Senior Legal Officer
General Legal Affairs Service
E-mail: Annick.VanHoutte@fao.org

Ms Alicia MOSTEIRO CABANELAS
Global Record Technical Manager/ MCS Operations Specialist
Fishing Operations and Technology Branch
E-mail: Alicia.mosteiro@fao.org

Ms Dawn BORG COSTANZI
Global Record Systems Analyst /Developer
Fishing Operations and Technology Branch
E-mail: dawn.borgcostanzi@fao.org

Mr Jiaxi WANG
Junior Professional Officer
Fishing Operations and Technology Branch
E-mail: jiaxi.wang@fao.org

Ms Cristina LERIA
Legal Consultant/Rapporteur
Fisheries Operation and Technology Branch
E-mail: cristinaleria@comcast.net

Mr Chiguk AHN
Fishery Officer
Policy, Economics and Institutions Branch
E-mail: chiguk.ahn@fao.org

Mr Morio KANEKO
Project Operations Officer
Policy, Economics and Institutions Branch
E-mail: morio.kaneko@fao.org

## LIST OF DOCUMENTS

| | |
|---|---|
| GRWG/2015/1/1 | Provisional Agenda and Timetable |
| GRWG/2015/1/2 | Background document – Key discussion items |
| GRWG/2015/1/3 | Draft Terms of Reference for the Working Group |
| GRWG/2015/1/4 | Governance Framework for the Global Record: exploring alternatives under international law |
| GRWG/2015/1/Inf.1 | Provisional List of Documents |
| GRWG/2015/1/Inf.2 | Provisional List of Participants |
| GRWG/2015/1/Inf.3 | Statement by the Assistant-Director General, FAO Fisheries and Aquaculture Department |
| GRWG/2015/1/Inf.4 | Report of the 31st Session of the committee on Fisheries (Rome, 9-13 June 2014)(C2015/23)<br>Arabic Chinese French Russian Spanish |
| GRWG/2015/1/Inf.5 | COFI/2014/4.2/Rev.1. The Voluntary Guidelines for Flag State Performance, the 2009 FAO Agreement on Port State Measures and other instruments combating IUU fishing |
| GRWG/2015/1/Inf.6 | COFI/2014/Inf.12/Rev.1.The Global Record of Fishing Vessels, Refrigerated Transport Vessels and Supply Vessels (Global Record) |
| GRWG/2015/1/Inf.7 | COFI/2014/SBD.2 Global Record of Fishing Vessels, Refrigerated Transport Vessels and Supply Vessels-The way forward (Strategy document) |
| GRWG/2015/1/Inf.8 | Report of the Technical Consultation to Identify a Structure and Strategy for the Development and Implementation of the Global Record of Fishing Vessels, Refrigerated Transport Vessels and Supply Vessels, held in Rome, 8–12 November 2010 |
| GRWG/2015/1/Inf.9 | IMO Assembly Resolution A.1078(28) |
| GRWG/2015/1/Inf.10 | UN/CEFACT Business Requirements Specification for FLUX Vessel domain |

**ADOPTED**

**TERMS OF REFERENCE FOR THE WORKING GROUP**

In order for the Global Record Programme ("the Programme") to obtain guidance on outstanding issues including finding a solution for the long-term financing of the Global Record, the establishment of a Global Record Informal Open-Ended Technical and Advisory Working Group (hereinafter referred to as the WG) is proposed with the following terms of reference:

1. Provide guidance on legal and technical aspects and to guide the development of the application and secure its applicability and utility at global level, particularly in the following critical matters:

    a) Define the most appropriate approach for the management of the Unique Vessel Identifier (UVI);
    b) Evaluate the possibilities for expansion to phases 2 and 3, in particular for the UVI (feasibility study);
    c) Evaluate the need for an Expert Consultation (followed by a Technical Consultation) to start the process for developing an international instrument to govern the rules and procedures for participation in the Programme and provide the framework to define minimum requirements for the Global Record in line with the PSMA;
    d) Provide advice with regards to the development of standards and mechanisms for data exchange.

2. Provide the opportunity for expression of the views of national and regional administrations, as well as external entities, including international organizations with similar areas of work, which may cooperate with the Global Record, which may act as data providers or system users, and facilitate the exchange of practical information on their working modalities and information systems in place.

3. Put forward suggestions on data and functionality, including data exchange procedures and data formats for the Global Record.

4. Identify key issues and Member States, in particular developing States, and regions for capacity building, including identifying relevant areas for technical assistance.

5. Set up a financial mechanism for the long-term sustainability of the project.

6. Discuss other relevant issues.

# OPENING STATEMENT BY MR ÁRNI M. MATHIESEN

## Assistant Director-General

## Fisheries and Aquaculture Department

## FAO

## Rome, Italy

Ladies and gentlemen,

On behalf of the Director-General of FAO, Mr Graziano da Silva, I am pleased to welcome you to this meeting of the Global Record Informal Open-Ended Technical and Advisory Working Group.

Illegal, Unreported and Unregulated (IUU) Fishing continues to be a major global threat to the long-term sustainable management of fisheries and the maintenance of productive and healthy ecosystems as well as the stable socio-economic condition of many of the world's small-scale and artisanal fisheries. In particular, poverty, food insecurity and malnutrition in developing countries are the result of economic and social marginalization and the use of unsustainable fishing practices impacted by IUU fishing. IUU fishing mainly targets high value catch often in remote places with ineffective control measures in place and thrives on weak governance, poor traceability and lack of deterrents.

Meanwhile, despite ongoing and often successful initiatives by Monitoring, Control and Surveillance (MCS) practitioners, IUU fishing continues to have a devastating impact. A recent study indicates the losses attributed to IUU fishing are massive, worth an estimated 10 to 23 billion US Dollars per year globally. Hence, IUU fishing continues to be a major global threat that needs to be addressed. In fulfilling our duty to reduce poverty, food insecurity and malnutrition, we should tackle the fight against IUU fishing in a more coordinated way and from all possible angles.

The international community has put forward several initiatives, instruments and tools to combat IUU fishing worldwide in a cooperative way. The **International Plan of Action to Fight IUU fishing**, the **Port State Measures Agreement** and the **Voluntary Guidelines for Flag State Performance**, which were recently endorsed by the FAO Committee on Fisheries (COFI), are some examples.

The **Global Record of Fishing Vessels, Refrigerated Transport Vessels and Supply Vessels** that is normally referred to as the "Global Record" is one of the latest tools that is being developed and implemented to fight IUU fishing. It is closely related to other MCS initiatives and shows strong synergies with the **Port State Measures Agreement** and the **Voluntary Guidelines for Flag State Performance** among others.

The major strength of the Global Record is that it will make information available regarding the identification of fishing vessels, their operations and possible associations with illegal activities. This information will be crucial in supporting the implementation of the **Port State Measures Agreement**, for which the Global Record will become a major tool.

Dear participants,

The effectiveness of existing MCS tools is dependent upon the strength of the supporting MCS regime in the States and/or in the Regional Fisheries Management Organizations (RFMOs) in which they are used. Their biggest weakness, generally, is that they are applied without the benefit of a universal picture which could inform their coordinated application. The Global Record can provide that universal picture by making available the information essential to support, among others, resource prioritization decisions, vessel inspection programmes, surveillance programmes, investigation and sustainable fisheries management.

COFI has repeatedly reiterated its support for the Global Record's continued development by FAO. At its thirty-first session, held in June 2014, the Committee recognized the role of the Global Record in the concerted fight against IUU fishing and commended the Organization on the preparation of the strategy document and the

demonstration of the system prototype. Some Members recognized the need for the establishment of an advisory committee to clarify outstanding issues and to find a solution for the long-term financing of the Global Record Programme.

At the third meeting of the COFI Bureau, held on 3 December 2014, the Bureau welcomed the proposal by the Secretariat that a Working Group be established to take up the role of the advisory committee mentioned in the COFI report.

Ladies and gentlemen,

This meeting is informal and open-ended and no binding decisions will be taken at the meeting. Recommendations arising from the meeting will serve to guide the Secretariat on the continued development of the Global Record. Progress on the Global Record will be presented to the thirty-second session of COFI in 2016 for review.

Your role is to provide guidance on legal and technical aspects and to guide the development of the application that would secure its utility in enhancing transparency and traceability at global level.

Progressing with the Global Record Programme will not possible without sufficient funding. Therefore, your role is also to guide FAO on the long-term financing of the Programme, as recognized at the last session of COFI. In this regard, FAO is grateful for the financial contributions received in the past from the Governments of Australia, Republic of Korea, United Kingdom and the United States as well as the European Union. I would also like to take this opportunity to thank the Governments of Spain and Iceland and the European Union for their recent support in providing funds for the Global Record Programme, through which part of the expenses of this meeting were financed.

Thank you very much, ladies and gentlemen, for your attention.

**IHS MARITIME & TRADE'S RESPONSE TO UVI MANAGEMENT QUESTIONS RAISED AT THE MEETING OF THE GLOBAL RECORD INFORMAL OPEN-ENDED TECHNICAL AND ADVISORY WORKING GROUP**

## Phase 1 (>100GT)

**Simplified procedure for Fishing Vessels?**

Issuing IMO Ship Numbers is a complex process that can only operate from a single ship database that is kept up to date, and retains history on key fields, so that all incoming records can be tested against that database to check if the record already exists or is genuinely new. It is not simply a process of issuing a Number once.

A simplified process potentially compromises the integrity of the data and the number issued as a result. IHS Maritime & Trade will follow the same process for fishing vessels as it does all other ship requests.

The IMO number is never reassigned to another vessel.

It can be noted that IHS Maritime & Trade are investigating electronic data exchanges with Tuna fishing collaboratives and other sources to look at increasing the numbers of records received electronically, but these would still need a degree of manual checking to ensure no duplicates appear and that the source data meets our criteria in terms of key fields being populated and validated. The higher the volume of data sources to cross-check against the quicker the process to validate and issue a number is from the team of experts that collectively have over 300 years industry knowledge.

1.  **Bulk requests for existing vessels?**
    IHS Maritime & Trade does not supply its ship database, or a database of IMO Ship Numbers or of IMO Company and Registered Owner Numbers, directly to any commercial third party data provider. Applications involving more than one ship are accepted on a single ship per form basis only.

    IHS Maritime reserves the right to refuse to assign an IMO Ship Number until all identification criteria have been supplied and to make a charge for processing significant batch requests of numbers.

2.  **Service level agreements (SLA)?**
    IHS Maritime & Trade issues IMO Ship Numbers free of charge to shipyards, ship-owners/operators, administrations and classification societies on submission of a completed IMO number Request Form, which is available from http://www.imonumbers.ihs.com

    IHS Maritime processes IMO Number receipts by strict rotation and it is recommended that applicants should forward requests at their earliest opportunity. Replies are normally dispatched within a few working days from receipt of each request.
    IMO Ship Numbers can be obtained from IHS Maritime & Trade products and services. The Equasis free public site is also a reliable source to view the IMO Ship Number (www.equasis.org). This site is supplied with up to date fleet and owner information from the databases of IHS Maritime & Trade.

3.  **Additional sources of information, such as national and regional records?**
    Changes in ownership and management usually go hand-in hand with changes in the details of the ship, and are therefore, highly integrated with updating the ship database. The updating of either database automatically triggers research into the other i.e. a notification of an ownership change triggers research into changes of ship fields; a notification of a change to a ship field, such as flag, triggers research in changes of all ownership fields. The monitoring of newbuildings is also a trigger to investigate new companies. Thus the data is very interrelated and we need to take a universal view to ensure that updating one piece of data complements and does not distort another piece. This is all part of the verification process, that is followed.
    Where data is consistent, meets our criteria and the supply can be guaranteed over time, IHS Maritime & Trade offer an exchange of products for reliable data. Data exchange agreements of a national and/or regional nature only enhance the level of accuracy of data, which links back to point 1 above.

## 4. Vessel type categories

IHS Maritime & Trade cannot align specifically to the ISSCFV categories and sub categories, but have their own more generic system which is described below.

IHS Maritime & Trade has a versatile and expandable shiptype coding system. The system takes coding was created to meet the demands of both a changing industry and the requirements of those wishing to perform either aggregated analysis or analysis on individual vessel types. The International Maritime Statistics Forum has given their support to the new system which is now being incorporated into our products.

The Benefits of Statcode 5

- easy to use, versatile, expandable and flexible
- allows users to perform both simple and complex interrogation across all levels
- allows specific micro-analysis
- works in sympathy and enhances existing systems and time-series legacies
- allows for even further cross-section analysis using new back in coding system
- will be provided with a full set of **vessel type definitions** to assist with accurate selection of codes

*Please see matching conducted, which is included in the e-mail correspondence.*

IHS Maritime can supply a table in Excel to show how the hierarchical levels within Statcode 5 shiptype categorization fit together for greater clarification.

## Phase 2 & 3 (<100GT)

### IMO Number manageable by IHS M&T?

IHS Maritime & Trade have managed the numbering schemes on behalf of the IMO for a number of years and over that time issued IMO numbers to the global fleet. IHS Maritime & Trade have the capability and expertise to manage the issuance of numbers to vessels outside of the scope of phase 1.

IHS Maritime & Trade at this time cannot commit to any SLA concerning phase 2 and 3. A feasibility study, as suggested at the informal meeting in Rome, would provide the additional detail required to build such prerequisites.

IHS Maritime & Trade may also consider adding 'high seas' vessels (operating in waters outside national Jurisdiction) which do not normally meet their criteria as these present a risk in terms of illegal and unregulated fishing. These would also receive a unique 7 character number, which would remain through the vessels life and not be deleted.

**GRAPHICAL REPRESENTATION OF HOW THE IMO NUMBER IS OBTAINED AND DATA QUALITY**
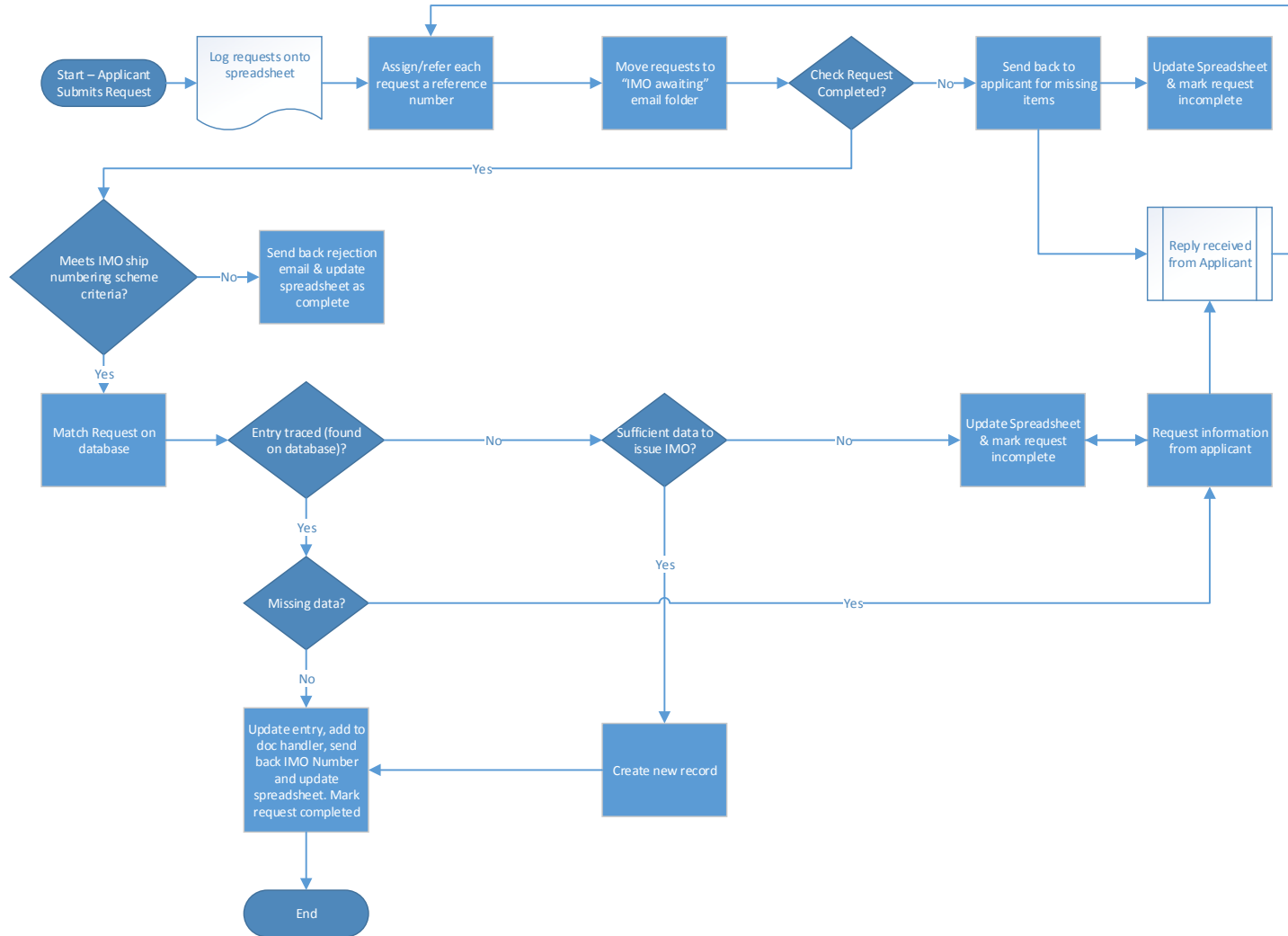
This document contains the report of the first meeting of the Global Record Informal Open-Ended Technical and Advisory Working Group (GRWG). At this meeting, experts from Member of and observers to the FAO Committee on Fisheries provided their view on the next steps towards the development of the Global Record as a tool to fight illegal, unreported and unregulated fishing. Several important issues were discussed, including: the terms of reference for the GRWG, scope and data requirements, system development, operational rules and data exchange mechanisms, the governance framework, and the way forward.