



**Food and Agriculture  
Organization of the  
United Nations**

FIAO/RXXXX (En)

**FAO  
Fisheries and  
Aquaculture Report**

Report of the

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

Rome, 26–28 June 2017

ADVANCED DRAFT

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Report of the  
Third Meeting of the Global Record Informal Open-Ended Technical and Advisory Working Group  
Rome, 26–28 June 2017

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## PREPARATION OF THIS DOCUMENT

This is the report of the Third Meeting of the Global Record Informal Open-Ended Technical and Advisory Working Group held in Rome from 26 to 28 June 2017. 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.

FAO. 2017.

*Report of the Third Meeting of the Global Record Informal Open-Ended Technical and Advisory Working Group, Rome, 26–28 June 2017.*

FAO Fisheries and Aquaculture Report No.XXXX. Rome, Italy.

### ABSTRACT

The third Meeting of the Global Record Informal Open-Ended Technical and Advisory Working Group (GRWG) was held in Rome, Italy, from 26 to 28 June 2017.

The meeting was attended by experts from FAO Members, intergovernmental organisations (IGO) and international non-governmental organisations (INGO), in view of identifying the next steps towards the development of the Global Record as a tool to fight illegal, unreported and unregulated (IUU) fishing. Issues discussed included: the revision of the Terms of Reference (TORs) of the Working Group; the progress and state of affairs of the Global Record Programme; the IHS offer for inclusion of vessel data into the Global Record; user experiences, features, functionalities, rules and procedures, and participation to the first working version of the Global Record information system; outcomes of the first meeting of the Parties of the Port State Measures Agreement (PSMA) in relation to the Global Record; and capacity development support.

The GRWG agreed upon the revised TORs for the Working Group. The importance of publicly releasing the Global Record prior to the 33<sup>rd</sup> session of the Committee on Fisheries (COFI) to showcase the utility of the Global Record in the fight against IUU fishing and to encourage further participation, was highlighted. The GRWG recognized the value of IHSM's revised offer in providing the five essential data fields, required for submitting a vessel into the Global Record information system, to support the implementation of Phase 1, whilst reiterating the responsibility of the State to provide the data. The Secretariat was requested to develop ways to facilitate the submission of data by States and that the source of data should be correctly marked in the information system. The need for a clear procedure for establishing National Focal Points (NFPs), was highlighted. The GRWG recommended that vessels records should be updated at least every 45 to 90 days. The GRWG underlined the importance that data included in the Global Record is of the highest quality and, in this regard, highlighted the need to establish procedures to avoid dissemination of conflicting data. The importance of timely advancements to the Global Record information system, particularly to support data verification and risk analysis for the PSMA and other instruments such as the United Nations Fish Stock Agreement (UNFSA), was underlined. The GRWG agreed upon the major areas that need consideration for capacity development action and highlighted that these should be planned and implemented in coordination with capacity development actions established under other initiatives to ensure coherence and support the development of synergies.

The GRWG welcomed the announcement by Sweden of a contribution to the Global Record of 900,000 USD.

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## ABBREVIATIONS AND ACCRONYMS

CDS	Catch Documentation Scheme
COFI	FAO Committee on Fisheries
CSV	Comma-Separated Values
CWP	Coordinating Working Party on Fisheries Statistics
DG-MARE	Directorate-General of the European Commission for Maritime Affairs and Fisheries Commission
EC	European Commission
EFCA	European Fisheries Control Agency
EU	European Union
FAO	Food and Agriculture Organization of the United Nations
FIAO	Fishing Operations and Technology Branch
FLUX	Fisheries Language for Universal eXchange
FV Sea-Web	Fishing Vessel & Ownership database
GFCM	General Fisheries Commission for the Mediterranean
GISIS	Global Integrated Shipping Information System
GRCG	Global Record Specialized Core Working Group
GRWG	Global Record Informal Open-Ended Technical and Advisory Working Group
GT	Gross Tonnage
GRT	Gross Register Tonnage
IHSM&T	Information Handling Services Maritime and Trade
IMO	International Maritime Organization
ISSF	International Seafood Sustainability Foundation
IT	Information Technology
IUU	Illegal, Unreported and Unregulated
LOA	Length Overall
NEAFC	North East Atlantic Fisheries Commission
NGO	Non-Governmental Organization
NOAA	National Oceanic and Atmospheric Administration of the United States of America
PSC	Port State Control
PSMA	Port State Measures Agreement
RFMO	Regional Fisheries Management Organization
UN	United Nations
UN/CEFACT	United Nations Centre for Trade Facilitation and Electronic Business
UNECE	United Nations Economic Commission for Europe
UN/LOCODE	United Nations Code for Trade and Transport Locations
USCG	United States Coast Guard
UVI	Unique Vessel Identifier
WWF	World Wide Fund for Nature
XML	eXtensible Markup Language

## **OPENING OF THE MEETING**

1. The GRWG was attended by 47 participants from 33 FAO Members, four participants from IGOs, five participants from INGOs, three resource persons and five FAO support staff. A list of participants and support staff is attached as Appendix 4.
2. Mr Ari Gudmundsson, Head of Fishing Operations and Technology Branch (FIAO) of the FAO, opened the GRWG and welcomed the participants.
3. The GRWG pointed out the necessity to respect the holy days of Ramadan for future events and its possible repercussion on the lack of participation of Muslim Member States to the meeting.
4. Mr. Árni M. Mathiesen, Assistant Director General, Fisheries and Aquaculture Department of the FAO inaugurated the session and delivered a statement. The text of this statement is attached as Appendix 5.

## **MEETING ARRANGEMENTS**

5. Mr Gudmundsson briefed the participants on the arrangements of the GRWG. He notified the participants that an administrative report of the GRWG would be prepared and circulated among the participants. At the end of the meeting the GRWG would be approve the conclusions of the meeting, and be given the opportunity to draft recommendations to COFI 33.

## **ELECTION OF THE CHAIRPERSON AND VICE CHAIRPERSON**

6. Ms. Cheri McCarty, Foreign Affairs Specialist, Office of International Affairs and Seafood Inspection, National Marine Fisheries Service of the United States of America, was elected as Chairperson for of the meeting.

## **ADOPTION OF THE AGENDA**

7. The participants from Colombia and the Republic of Ghana requested time for a presentation on their national register of fishing vessels. The GRWG agreed to include the presentation after Agenda Item 10.
8. The GRWG then adopted the agenda as presented in Appendix 1.

## **REVISED TERMS OF REFERENCE FOR THE WORKING GROUP**

9. Ms. Mosteiro, Coordinator of the Global Record of Fishing Vessels, Refrigerated Transport Vessels and Supply Vessels (Global Record), introduced the background document for the revision of the ToRs of the Working Group.

The scope of these changes regarded: i) the broader inclusion of discussions concerning data and system functionality, data exchange mechanisms and data formats; ii) the contemplation of strengthening synergies with other international instruments, initiatives and tools to fight IUU fishing, as well as to support the Sustainable Development Goal (SDG) 14; and iii) the incorporation of a reference to SDG 17 - "Revitalize the global partnership for sustainable development" with regard to assistance and capacity building.

10. The GRWG approved the proposed revisions to the ToRs, as presented in Appendix 2.

## **PROGRESS REPORT AND STATE OF AFFAIRS OF THE GLOBAL RECORD PROGRAMME**

11. Ms. Mosteiro reported on the progress and state of affairs of the Global Record Programme. She emphasized the contributions of the Global Record Working Group (GRWG) and Specialized Core Working Groups (GRCG) contributions on the development of the Global Record information system. As noted, the pilot version of the information system provided a good opportunity to test the system with real data prior to the release of the first working version on the 21<sup>st</sup> of April 2017. The working version of the information system was only made accessible to Member States, who were then able to provide their data. Focus was made to ensure that sufficient data was uploaded onto the system to ensure the proper functioning of the system, in time for the public launch, intended to be made prior to COFI 33.

12. The Working Group was also updated on the latest discussions with the International Maritime Organization's (IMO) ship identification numbering scheme, adopted by COFI as the Global Record's Unique Vessel Identifier (UVI) for phase 1 (100 GT or 24 m and above). The Secretariat informed that the IMO numbering scheme was under revision by means of an amendment to the IMO Resolution A.1078(28). As indicated, the amendment on the IMO ship identification numbering scheme has been proposed to extend the scheme to fishing vessels of 100 GT and above of non-steel construction and all motorized inboard fishing vessels down to a size limit of 12 metres in length overall, authorized to operate outside waters under national jurisdiction of the flag State.

13. The Secretariat further noted that the Global Record could play an important role not only as a tool in combatting IUU fishing, but also by creating synergies, in particular with: the Agreement on Port State Measures to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated fishing (PSMA), in facilitating data verification and risk analysis; ii) the Voluntary Guidelines on Flag State Performance (VG-CDS), in avoiding flag-hopping; iii) the Voluntary Guidelines for Catch Documentation Schemes (VG-CDS), in allowing traceability and increasing transparency

14. In light of the concerns expressed by the GRWG regarding the issuance of IMO numbers to their national vessels, the representative from IMO, strongly recommended to strengthen collaboration between flag States and the IMO or through the Information Handling Services Maritime and Trade (IHSM&T) to accelerate the process. It was noted that this would become inevitable following the entry into force of the Cape Town Agreement, where IMO numbers would be mandatory for fishing vessels.

15. Information was shared with regard to other data exchange mechanisms foreseen in accordance with the outcomes of the Second Meeting of the GRWG. This included an additional manual data upload exchange mechanism through e-mail attachments and an automatic transmission mechanism known as Fisheries Language for Universal eXchange (FLUX). Manual mechanisms for data exchange were described as an interim solution, whilst UN/CEFACT XML standardized schemas would be available for Member States who would encounter difficulty in upgrading their system to automatic means of data transfer.

16. The participant from Sweden, highlighting the commitment of his government in achieving SDG 14, announced their financial support to the Global Record Programme with approximately 900 000 USD. The Secretariat welcomed the announcement, which could serve to reinforce and boost the development and implementation phase of the information system.

17. IMO advised to the GRWG that the United Nations Code for Trade and Transport Locations (UN/LOCODE) was under revision and urged the Working Group for its consideration as a reference list for ports.

## **IHSM REVISED OFFER FOR INCLUSION OF VESSEL DATA INTO THE GLOBAL RECORD**

18. The representative from the private company IHSM&T introduced their revised offer for the inclusion of vessel data into the Global Record. As noted, IHSM&T is the company in charge of issuing IMO numbers on behalf of the IMO. With a proven experience of 20 years collecting fishing vessels data, he welcomed the opportunity to exchange data with the Global Record given their new responsibilities acquired through Resolution A.1078(28) which amends Resolution A.600(15) extending the IMO numbering scheme to fishing vessels of 100 gross tonnage and above.

19. The revised offer included the provision of the five essential data fields, required for submitting a vessel into the Global Record information system, for all fishing vessels in possession of IMO numbers that are 100GT and above without charge. Vessels conducting fishing related activities such as refrigerated transport and support vessels were excluded, in consideration of the difficulty in differentiating them other non-fishing vessels in the database. As an alternative solution to access information about the commercial fleet the information system known as EQUASIS was recommended. In return, IHSM&T demanded a seamless hyperlink from the Global Record to the commercial version of their Fishing vessel & Ownership database (FV Sea-Web).

20. IHSM&T singled out the value of this information for verification purposes (crosschecking of the essential fields with flag States to increase data quality) and for data conflict resolution.

21. The GRWG welcomed the offer of the IHSM&T and approved it by consensus. It was reiterated, in line with COFI, that flag States are responsible for their data and thus should be always in full control of it. Likewise it was iterated that flag States should be in control of selecting source of information, whether from their national register, IHSM&T or any Regional Fisheries Management Organization (RFMO).

22. As further noted, data crosschecking from different sources would be of great benefit to improve data quality and transparency. With regards to the particular case of data discrepancies, it was agreed that data submitted by flag States would be prioritised. To develop a clear and simple protocol to resolve data conflicts it was suggested that the GRCGs should be consulted.

## **GLOBAL RECORD INFORMATION SYSTEM**

### **First Working version: user experience, features and functionalities and participation**

23. The Secretariat conducted a live demonstration of the system, bringing to the attention of the GRWG the new website of the Global Record. It was noted, that the current version of the Information System is only accessible to Member States by means of the credentials provided by e-mail by the Secretariat.

24. The Working Group received a detailed description on the submission procedure envisaged for the currently implemented exchange mechanism based on manual upload through CSV files. As highlighted, the content of the Global Record is organized into six information modules plus an additional input for the list of Ports. Eleven different CSV file types were made available to upload the information for these modules, the information module entitled "Vessel" was underlined as the primary module comprising the set of core data fields, considered as essential and required. The Secretariat suggested that the simplest initial procedure for uploading vessels was to only upload the five essential and required data fields, with the other fields being submitted subsequently. Member States should eventually submit the maximum number of data fields without compromising data confidentiality, in accordance with their national legislations.

25. Furthermore, the Working Group was briefed on the use of the information system, pinpointing the summary tables provided and the user friendly search functions available to users. To illustrate its potential, several examples were presented on how to query for specific vessels, highlighting the relevance of providing the maximum number of data fields and information modules to establish linkages and valuable connections that could help in the detection of IUU fishing activities and risk analysis.

26. Some participants through their experience of using the information system declared to have faced challenges in collecting the data from different national authorities, provoking delays for data submission. In addition, the inability to upload compliance and authorization information to vessels not recorded in the system by the port and coastal States' authorities was stressed as an important handicap. In general, representatives expressed their satisfaction with the uploading mechanism and usability of the system.

27. To conclude, the Secretariat stressed the lack of participation at this initial stage and its key importance to advance on the implementation of the Global Record. As response, the Working Group agreed on the need to broaden participation in the build up to COFI 33.

#### **Rules and procedures: frequency of data submission, data quality and data conflicts**

28. The Secretariat reminded the responsibility of the States for ensuring data quality, in line with the provisions of COFI 31 in relation to the Global Record. The importance of keeping data up to date was highlighted to the GRWG as well as the need to establish a maximum frequency timeframe for its revision.

29. To guarantee data quality, the Secretariat suggested that a minimum timeframe should be agreed in order to ensure that vessel records are up to date. Albeit current validation rules were defined as very simple and data type related, it was noted that the Secretariat will implement more advanced data validation procedures to refine data quality to the highest standards possible.

30. It was further noted that data quality would also benefit from transparency, States performing their duties as port, coastal or market State would be able to crosscheck data during inspections and possibly detect discrepancies. Furthermore, data conflicts are also expected when using different sources of data for crosschecking, in particular IHSM&T and RFMOs data. As a first approach to conflict resolution, the Secretariat suggested that discrepancies should be reported to countries which would then be able to advise the correct source of information or provide feedback, within an agreed timeframe.

31. The expert from the IMO, introduced the Global Integrated Shipping Information System (GISIS) and made a live demonstration of the system, focusing on the Ship and Company Particulars module where vessel's details are stored. He informed that GISIS possesses 42 different modules of information whereby the 80% of which being publicly available and the rest being restricted to access by States. During the live demonstration the information system was presented, highlighting the public access to casualties, ownership information and vessel type categories. As noted, vessel type for fishing vessels includes two broad categories, "fish catching" and "other fishing", with scarce specification for fish catching vessels. Fishing vessel definition used included transport and support vessels used for the commercial exploitation of fish products. As also noted, to deal with information update issues, GISIS integrates a reporting requirement which highlights in red the modules requiring an update.

32. EQUASIS was also presented due its contribution in promoting exchange of information and transparency in the shipping industry, although with the objective to reduce substandard shipping. As

singled out, EQUASIS provides world fleet statistics on the commercial fleet that could be of value to the Global Record and started to incorporate a fishing vessels category comprising fish carriers and fish factory ships into its database.

33. As a regional initiative, the Regional Fishing Vessel Record developed by the Southeast Asian Fisheries Development Center (SEAFDEC) was introduced to the Working Group. Described as a public vessel database for the Southeast Asian region, it was highlighted that it includes a total of 3284 vessels (above 24 meters length) and uses Excel files as data the exchange mechanism. Concerning IMO numbers, their provision as stated isn't compulsory, due to vessels in the region mainly possessing wooden hulls. In reference to this, the GRWG was informed about the IMO amendment that will be discussed at IMO to extend the numbering scheme to vessels of steel and non-steel hull.

34. The automatic Fisheries Language Universal eXchange (FLUX) mechanism was presented to the GRWG as a good opportunity to implement a real time update system that incorporates advanced validation rules and minimizes human intervention, which would notably improve data quality.

35. In summary, the Working Group agreed on the need to establish a minimum updating frequency to ensure the data reliability, a responsibility of the State. Although real time updates through automatic exchange mechanisms was considered as ideal, the necessity of establishing a reasonable frequency taking into consideration the capacities of developing States, was highlighted. In light of this, a minimum updating frequency rate of 45-90 days was agreed by the GRWG.

36. In case of data discrepancies between different flag States or between flag States and third parties, the GRWG agreed that States should be contacted to provide their feedback before publishing the data within an agreed timeframe. Regarding special cases of discrepancies as those related with chartering arrangements the GRWG suggested further consultation in the GRWG.

**OUTCOME OF THE FIRST MEETING OF THE PARTIES TO THE FAO AGREEMENT ON PORT STATE MEASURES AND THE OCEANS CONFERENCE IN RELATION TO THE GLOBAL RECORD. SYNERGIES WITH THE VOLUNTARY GUIDELINES FOR CATCH DOCUMENTATION SCHEMES.**

37. The Secretariat introduced the scope of the PSMA and the outcomes of the first meeting of the Parties, convened in Oslo, Norway, to discuss the implementation of the Agreement and to devise the way forward for its effective application. During the meeting of the Parties, it was recognized that a key component on the implementation of the PSMA would be the transmittal, electronic exchange and publication of information. It was noted that determining the mechanisms for information exchange would be essential for understanding how parties would communicate the results of the inspections to flag States, Coastal States, RFMOs, etc. In consequence, with the objective of developing a global information exchange mechanism to support the implementation of the PSMA, the Parties established an open-ended technical working group.

38. To further support the exchange of information, it was also noted at the first meeting of the Parties, the contribution that complementary instruments and tools could provide, in particular the Global Record, the Voluntary Guidelines for Catch Documentation Schemes (CDS), and other initiatives stemming from RFMOs. Other outcomes of the PSMA meeting concerned the requirements of developing States and the monitoring, review and assessment of the implementation of the Agreement.

39. In relation with the CDS, the expert from Iceland, who acted as Chair of the CDS technical consultation, briefed the participants on the recently adopted FAO Voluntary Guidelines on Catch Documentation Schemes, highlighting the potential synergies and interactions in relation with the

Global Record. As noted, CDS and the Global Record will promote better traceability of fishery products in the value chain providing linkages between fish products and fishing or fishing related vessels.

40. The GRWG welcomed the potential synergies amongst the different instruments, initiatives and tools to fight IUU fishing. The participants recognized that the Global Record could play an important role for the PSMA, providing a platform with official information fundamental for the verification of vessel's identification when seeking entry into port, as well as initial risk analysis assessment. It was noted the importance for the tool to be operational as soon as possible in order to be linked to the global information-sharing mechanism that will be developed for the PSMA.

#### **CAPACITY DEVELOPMENT SUPPORT**

41. The Secretariat informed the GRWG about capacity development activities previously undertaken in certain developing States. However the main focus for the Global Record Programme has been towards its efforts on the development of the first working version of the information system. Following the launch of the first working version of the Global Record information system in April 2017, the need to resume capacity development activities was stressed with the aim of increasing and broadening participation to the information system.

42. Several participants described their national registers and pending challenges. The Main gap identified was the lack of inter-ministerial cooperation within national administrations in possession of the national registers for the fishing and the commercial fleets. In some of the cases, big fishing vessels operating outside waters of national jurisdiction were outsourced to third countries or registered as part of the national commercial fleet to circumvent fishing inspection. Other challenges expressed were lack of institutional support and budgetary resources.

43. The Working Group emphasized that integrated actions to support capacity development between the different tools and initiatives to fight IUU fishing from a regional approach should be explored. It was noted that such integration of tools and initiatives could provide several benefits, such as the creation of synergies, increasing cost-effectiveness, improving the quality and quantity of information accessible to the parties through the Global Record information system, and increasing regional cooperation. As further noted, increasing awareness at national level is key to convincing developing States on the usefulness of all the tools and initiatives mentioned.

#### **RECOMMENDATIONS TO THE THIRTY-THIRD SESSION OF COFI**

44. The Chairperson opened discussions by indicating the matters brought up during the meeting, which as stated would be presented to COFI 33.

45. The GRWG agreed on the following recommendations to the Thirty-third Session of COFI:

##### **The Committee is invited to:**

1. Reiterate the importance of the Global Record as an important tool in the fight against IUU fishing, and recognize its synergies with other agreements and related instruments such as the Port State Measures Agreement and the Voluntary Guidelines for Catch Documentation Schemes.
2. Acknowledge the continued progress developing the Global Record through the work of the Global Record Informal Open-Ended Technical and Advisory Working Group and three specialized core working groups, and commend the launch of the first working version of the Global Record.

3. Reaffirm the responsibility of the States to provide data to the Global Record and encourage all States that have not yet done so to upload their phase one data as soon as possible.
4. Recommends that the Committee accepts in principle, subject to the agreement on the terms and conditions of use, the offer from IHS to use its data for two years, at no cost, for the 5 core data fields: IMO number, Flag State, Vessel Name, Length Overall, and Gross Tonnage/Gross Registered Tonnage, in order to expedite the population of the Global Record with such data, acknowledging that some States might face difficulties in providing data to the Global Record.
5. Emphasize the critical importance of the long-term sustainability of the Global Record and encourage Members to support its continued progress through provision of extra-budgetary contributions.

46. It was understood that these recommendations would be accompanied by explanatory text, and that the Secretariat might be required to make editorial changes to the agreed recommendations.

#### ANY OTHER MATTERS

47. The Working Group agreed on the relevance of regulating transshipment activities to prevent IUU perpetrators from using it as a legal loophole to circumvent port State control. In line with it, several participants described their national legal frameworks in force and the difficulties they face while controlling these activities. It was recognized the importance on including fishing related vessels as reefers in the Global Record, whilst the necessity of applying them the same MCS measures as other fishing vessels was discussed.

#### ADOPTION OF CONCLUSIONS OF THE MEETING

48. The GRWG adopted the conclusions of the meeting on Wednesday 28 June 2017 as follows:

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

The third 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. Revised Terms of Reference for the Working Group.**

The Secretariat provided an explanation for the proposed changes in the Terms of Reference for the Working Group to include synergies with other international instruments, initiatives and tools to fight IUU fishing and action with regards to the 2030 Agenda for Sustainable Development. The Terms of Reference were agreed as amended.

##### **2. Progress report and state of affairs of the Global Record Programme**

The Secretariat provided a broad overview and update of the Global Record including recent milestones such as the release of the pilot version in 2016, the release of the first working version of the system in April 2017, as well as the opportunities ahead.

It was noted that this first version is available only to Member States which were encouraged to upload their phase 1 data. This is an opportunity to continue testing the data upload before the Global Record is made public.

The GRWG reiterated that the Global Record is an important tool to fight IUU fishing particularly in establishing synergies with PSMA, VG-CDS and any other related instruments, initiatives and tools.

With regards to the UVI which currently applies to phase 1 vessels (100 GT or 24 m and above), it was noted that an amendment to the IMO Resolution A.1078(28) on the IMO ship identification numbering scheme has been proposed (Annex 1) to extend the scheme to fishing vessels up to 12 metres in length that are authorized to operate outside waters under national jurisdiction of the flag State. The importance of the entry into force of the Cape Town Agreement, which would make IMO numbers mandatory for fishing vessels, was also highlighted.

The GRWG agreed that it would be important to publicly release the Global Record the prior to COFI 33 to show the usefulness of the Global Record in the fight against IUU fishing.

The participant from Sweden announced his government's contribution of approximately 900 000 USD to support the Global Record Programme. The GRWG welcomed the announcement.

### **3. IHSM Revised Offer for inclusion of vessel data into the Global Record**

The GRWG welcomed the IHSM revised offer and recognized its value in initially providing the 5 essential data fields to support the implementation of phase 1.

The GRWG reiterated the responsibility of the flag State to provide its vessel data to the Global Record. Given the fact that some States face difficulties in providing data, flag States have alternative options such as from RFMOs and IHSM to provide data to the Global Record, recognizing that the decision has to be taken by each flag State. The Secretariat will develop a procedure to assist Members in the transmittal of information to the Global Record.

The GRWG also recognized the value of this offer to cross-check the data to improve data quality but the flag State should always have the final decision on the validation of its data.

### **4. Global Record information system**

The Secretariat made a demonstration of the Global Record Information System detailing the step-by-step process of uploading data, querying the database with some practical examples highlighting the linkages among the different modules that can be very useful in verifying information and supporting risk analysis.

The GRWG welcome the demonstration and noted with satisfaction that this first version seems to cover many aspects agreed on its last meetings.

#### **a. First working version: user experience, features and functionalities and participation.**

Some participants indicated that the process of data upload was easy and straightforward, whilst others noted some difficulties encountered particularly in putting the data into the right formats.

The GRWG congratulated the Secretariat for this first version and welcome the clarity in displaying data as well as noted the extensive query functionality. Additionally it was agreed that the source of data should be correctly marked.

The GRWG indicated that although responsibility of data submission relies on the States, it would be useful to facilitate the uploading of data from other sources such as IHSM or RFMOs, should the State wish to proceed in this way. This could help to broaden participation of phase 1 given the fact that some States face difficulties in gathering data that is scattered throughout several national administrations.

It was also noted that vessel photos could be very useful.

With regards to the access credentials, it was indicated that a clear procedure for designating a national focal point should be established.

**b. Rules and procedures: frequency of data submission, data quality and data conflicts.**

The GRWG agreed that frequency depends on the data exchange mechanism to be used. When an automatic data exchange mechanism would be in place based on international standards, it is clear that daily updates on any changes occurred is the ideal frequency. However, for the CSV upload through the web portal, the lowest frequency of data upload should be established at every quarter (every [45-90] days).

It was agreed that the Global Record should include data of the highest quality possible and in that regard, cross-checking with IHSM data, among modules and with RFMOs, when relevant, would be very useful. The secretariat should make the validation rules available for Members to take into account when preparing the data.

With regards to possible data conflicts, it was noted that there are several levels of possible discrepancies:

1. Among flag States, including chartering arrangements.
2. with IHSM data
3. with port State or coastal State data
4. possibly with RFMO data

The GRWG agreed that resolving discrepancies among flag States is a priority, as they could be referring to cases of multi-flagging, flag hopping and others.

Other types of discrepancies might provide an opportunity for improving data quality. However, a clear procedure to resolve these should be developed to avoid disseminating conflicting data. This process should initially involve only the State and the other sources, and provide a reasonable time for responding. Again, in resolving discrepancies, States must be in control.

The GRWG recognized that several detailed matters should be considered by the Core Specialized Working Groups prior to the next GRWG and COFI.

**5. Outcome of the first meeting of the Parties to the FAO Agreement on Port State Measures and The Oceans Conference in relation to the Global Record. Synergies with the Voluntary Guidelines for Catch Documentation Schemes**

The Secretariat introduced the PSMA and the results of the first meeting of the Parties. The participant from Iceland, who acted as Chair of the CDS technical consultation provided an overview of the Voluntary Guidelines and its linkages with other instruments and tools.

The GRWG welcome the synergies that can be developed among different instruments, initiatives and tools to fight IUU fishing.

With regards to supporting the implementation of the PSMA, the GRWG highlighted the importance of timely advancing the Global Record, particularly to support data verification and risk analysis. The Secretariat clarified that the Parties of the Agreement have started a process through a technical working group to define the mechanism for electronic exchange of information relative to the Agreement and that coordination with the Global Record will be considered.

The GRWG concluded that the Global Record is a broad tool that will have an important role in strengthening synergies among international instruments, initiatives and tools to fight IUU fishing, and, through data sharing, will support the implementation of the PSMA and other instruments such as the UNFSA, as well as help achieve target 14 of the 2030 Agenda for Sustainable Development.

#### **6. Capacity development support**

Several members explained the situation at national level and the general challenges faced to participate to the Global Record, PSMA and other initiatives. It was agreed that any capacity development action should be planned and implemented in coordination with programmes established under other initiatives for coherence and support developing synergies.

The GRWG highlighted some major areas that need consideration such as:

1. Improved coordination among national authorities involved in the Global Record
2. Develop integrated systems that can serve their national authorities in decision making (including those relevant for the PSMA and CDS) and allow submitting data to the Global Record in the right formats.
3. Promoting the use of international standards in use in the Global Record.

#### **DATE AND PLACE OF THE NEXT MEETING OF THE GRWG**

49. The GRWG agreed to reconvene in 2018 prior to COFI33 in order to assess the progress made by the Global Record Programme. In the meantime, work of the GRCGs could continue and meetings might be held on an ad-hoc basis.

#### **CLOSURE OF THE MEETING**

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

51. The acting Chairperson thanked the Secretariat and all the participants for the preparatory work and the fruitful discussions during the meeting and declared the meeting closed at 17:00 hours on 23 June 2017.

**AGENDA AND TIMETABLE**

<b>THIRD MEETING OF THE GLOBAL RECORD INFORMAL OPEN-ENDED TECHNICAL AND ADVISORY WORKING GROUP (GRWG)</b>
<b>Rome, Italy 26-28 June 2017</b>
<b>Provisional Agenda and Timetable</b>

**German Room, FAO Headquarters, Rome, Italy**

**Monday 26 June 2017**

*Morning, 09:30 hours*

7. Opening of the meeting
8. Election of the Chairperson and Vice-Chairperson
9. Designation of rapporteur
10. Adoption of the agenda and arrangements for the meeting
11. Revised Terms of Reference for the Working Group.

*COFFEE BREAK 10:45 – 11:15 hours*

12. Progress report and state of affairs of the Global Record Programme

*LUNCH 12:30 – 14:00 hours*

13. IHSM Revised Offer for inclusion of vessel data into the Global Record

*COFFEE 15:15 – 15:45 hours*

14. Global Record information system

- c. First working version: user experience, features and functionalities and participation.

*CLOSING 17:00 hours*

**Tuesday, 27 June 2017**

*Morning, 09:30 hours*

- d. Rules and procedures: frequency of data submission, data quality and data conflicts.

*COFFEE BREAK 10:45 – 11:15 hours*

Continued

*LUNCH 12:30 – 14:00 hours*

15. Outcome of the first meeting of the Parties to the FAO Agreement on Port State Measures and The Oceans Conference in relation to the Global Record. Synergies with the Voluntary Guidelines for Catch Documentation Schemes

*COFFEE BREAK 15:15 – 15:45 hours*

16. Capacity development support

*CLOSING 17:00 hours*

**Wednesday, 28 June 2017**

*Morning*

*Free (preparation of draft report)*

*Afternoon 14:00 hours*

17. Recommendations to the Thirty-third session of COFI  
18. Any other matters

*COFFEE BREAK 15:15 – 15:45 hours*

19. Adoption of conclusions of the meeting  
20. Date and venue for the next meeting of the Working Group  
21. Closure of the meeting

*CLOSING 17:00 hours*

## AMENDED TERMS OF REFERENCE FOR THE WORKING GROUP<sup>1</sup>

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

1. Provide guidance on legal and technical aspects and guide the development of the information system 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) Provide advice on the development of International Guidelines for the Implementation of the Global Record including the rules and procedures for participation in the Programme and provide the framework to define minimum requirements for the Global Record.;
  - d) Put forward suggestions on data and functionality, including data exchange procedures and data formats for the Global Record.
  - e) Provide advice with regards to the development of standards and mechanisms for data exchange.
  - f) Consider/propose (course of) action(s) towards i) strengthening synergies with other international instruments, initiatives and tools to fight IUU fishing, such as developments with regards to the Agreement on Port State Measures and the Voluntary Guidelines for Catch Documentation Schemes, as well as ii) supporting the goals of the 2030 Agenda for Sustainable Development, particularly Sustainable Development Goal 14 to “*Conserve and sustainably use the oceans, seas and marine resources for sustainable development*” and Sustainable Development Goal 17 to “*Revitalize the global partnership for sustainable development*” as well as iii) coordinating actions with other relevant international entities and collaborative initiatives.
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 as data providers or system users, and facilitate the exchange of practical information on their working modalities and information systems in place.
3. Identify key issues and Member States, in particular developing States, and regions for capacity building, including identifying relevant areas for technical assistance.
4. Set up a financial mechanism for the long-term sustainability of the project.
5. Discuss other relevant issues.

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<sup>1</sup> As adopted at the third meeting of the Global Record Informal Open-Ended Technical and Advisory Working Group, 26-28 June 2017.

## LIST OF DOCUMENTS

<b>Working documents</b>	
GRWG/3/2017/1	Provisional agenda and timetable
GRWG/3/2017/2	Revised TORs for the Global Record Working Group
GRWG/3/2017/3	IHS Maritime and Trade revised offer
GRWG/3/2017/4	Discussion items
<b>Information documents</b>	
GRWG/3/2017/Inf.1	List of documents
GRWG/3/2017/Inf.2	List of participants
GRWG/3/2017/Inf.3	<a href="#">Report of the first meeting of the Global Record Working Group</a>
GRWG/3/2017/Inf.4	<a href="#">Report of the second meeting of the Global Record Working Group</a>
GRWG/3/2017/Inf.5	<a href="#">Report of the meeting of the Global Record Specialised Core Working Groups</a>
GRWG/3/2017/Inf.6	<a href="#">Report of the 32nd Session of the Committee on Fisheries</a>
GRWG/3/2017/Inf.7	(Adopted) <a href="#">Report of the first Meeting of the Parties to the Agreement on Port State Measures to Prevent, Deter and Eliminate Illegal, Unreported and Unregulated Fishing</a>
GRWG/3/2017/Inf.8	(Draft) <a href="#">Voluntary Guidelines for Catch Documentation Schemes</a>

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**WELCOME Statement**

**by Mr. Árni M. Mathiesen  
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26 June 2017

**Third meeting of the Global Record Working Group**

German Room, 9:30

Ladies and Gentlemen,

I would like to welcome you to the third meeting of the Global Record Informal Open-Ended Technical and Advisory Working Group.

The idea of a Global Record originated some years ago with the increase of Illegal, Unreported and Unregulated (IUU) fishing, the first global estimations and the increased focus of the international community onto this devastating scourge in the fisheries sector.

This global information tool emerged as a response to fill in the global information gap that allowed and even facilitated the persistence and spread of IUU activities concealed under the lack of transparency that we are often facing at international level.

The Global Record of Fishing Vessels, Refrigerated Transport Vessels and Supply Vessels has been conceived, designed and developed to provide clarity of information on the vessels and their activities as well as to increase the traceability of fishery products. It constitutes a single access point for relevant and certified information on vessel identity, characteristics, ownership, authorizations to fish or tranship, and much more, all crucial to support the international fight against IUU fishing.

As with most international initiatives, the path has been long and challenging at times, but with the support of several champion countries and committed partners we are now at the beginning of a new era of cost-effective collaboration in combatting IUU fishing through increased transparency.

Dear participants,

I would like to remind ourselves that the FAO Committee on Fisheries (COFI) has repeatedly reiterated its support for the Global Record's continued development by FAO. At its Thirty-second Session, held in July 2016, the Committee recognized that the Global Record could play an important role as a tool in combatting IUU fishing and supporting the implementation of the PSMA and other related international instruments.

COFI also commended the progress made on the Global Record, in particular the establishment and work of your Working Group as well as the Specialized Core Working Groups and pilot project, and urged broader participation, including in the provision of data by Members.

So, I now feel that FAO has three strong initiatives to fight IUU fishing, the Port State Measures Agreement that entered into force on 5th June last year, the Voluntary Guidelines for Catch Documentation Schemes approved two months ago on 5 April 2017 by the Third Resumed Technical Consultation, and that will hopefully be endorsed by the FAO Conference next week and the Global Record Information System released also two months ago on 21<sup>st</sup> April. Together, these initiatives will create strong synergies that will tighten the net around IUU perpetrators.

Ladies and Gentlemen,

Today, we will together discuss this first version of the system, designed following the wise guidance from COFI and the Global Record Working Group, and we will identify opportunities ahead as well as challenges to overcome.

We have a new path to be walked ahead of us, that of the implementation across all countries and regions whilst further developing the tool to adjust it to emerging needs. Participation is key to make this goal a reality, so let's start working together...

I will now leave you to continue with the agenda, but not without taking this opportunity to once again show our gratitude to the Spanish Ministry for Agriculture and Fisheries Food and Environment, the European Commission, the National Oceanic and Atmospheric Administration of the United States of America and the Ministry of Industries and Innovation of Iceland, for their financial and technical support to the Global Record Programme in recent years.

Last but not least, I would also like to show our appreciation for the collaboration and commitment shown by the eleven pilot project partners, Colombia, Comoros, Ghana, Iceland, Indonesia, Mauritius, Mozambique, Seychelles, Spain, The Philippines and Uruguay, for championing this initiative.

Ladies and Gentlement, let's spread the word and encourage wide participation to make it another success story.

I wish you a pleasant and fruitful meeting.

This document contains the report of the third 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.

ADVANCED DRAFT