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### Communication from the Chairperson of the Committee on Fisheries

Dear Sir/Madame,

I have the honour to convey the third communication from Mr Zbigniew Karnicki, Chairperson of the Committee on fisheries (COFI), dated 18 January 2011.

As per the Chairperson's request, his communication is being sent to all the Heads of Delegations which attended the Twenty-eighth session of COFI from 2 to 6 March 2009 as well as the Permanent Representations in Rome. Should you no longer be the person dealing with COFI-related matters, I would be grateful, if you could kindly forward this missive to your successor.

I take this opportunity to reiterate the assurance of my highest consideration.

Hiromoto Watanabe  
Secretary of COFI  
Fisheries and Aquaculture Policy and Economics Division  
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18 January 2011

Dear Distinguished Members of the FAO Committee on Fisheries,

This is the third letter which I address to you in my capacity as Chairperson of the Twenty-eighth Session of the Committee on Fisheries (COFI).

I wish to draw your attention to matters for your decision at the upcoming session of COFI regarding the outcomes of the Technical Consultation on the Global Record of Fishing Vessels, Refrigerated Transport Vessels and Supply Vessels which was held in Rome from 8 to 12 November 2010.

Due to its timing, the outcome of the Global Record Technical Consultation could not also be fully reported in the primary working documents for COFI. Therefore, I felt the need to send you this letter to highlight its importance and the need for COFI to take decisions on the outcome, as well as to provide you with further clarification on key issues and suggested action by the Committee in relation to it.

In this respect, I invite you to read carefully Annexes I and II attached to this letter.

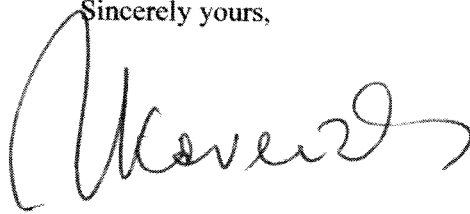
In addition, please note that the complete Technical Consultation report and supporting documents are available as an information document (COFI/2011/Inf.11) and made available documents on the COFI meeting website: <http://www.fao.org/cofi/cofi2011/64143/en/>.

To summarize, I wish to recall that, during its Twenty-eighth Session in 2009 COFI supported convening a Technical Consultation on the Global Record of Fishing Vessels, Refrigerated Transport Vessels and Supply Vessels following the Expert Consultation on that subject which had been held in 2008. This Technical Consultation was held in Rome from 8 to 12 November 2010 and produced a report containing 11 recommendations. In addition the Consultation requested that COFI consider two important issues which are explained in Annex I: first, whether or not the Global Record should be managed within FAO and separately, whether the

associated database should be developed and located within FAO or whether an external database provider should be contracted to provide these services. The Technical Consultation requested that these options be further elaborated with costing information. This information is in Annex II. Second, it was agreed that whatever funding option was decided on by COFI, long-term certainty of funding was essential. I wish to draw your attention to Annex I of this letter which provides guidance and suggests action by the Committee in regard to the development and implementation of the Global Record.

I would appreciate that you consider positively and proactively these matters subject to decisions to be made during the upcoming session of COFI, and make the necessary preparations to allow us to reach successfully a constructive conclusion by the end of the Twenty-ninth Session.

Sincerely yours,

A handwritten signature in black ink, appearing to read 'Zbigniew Karnicki', written in a cursive style.

Zbigniew Karnicki  
Chairperson of the Committee on Fisheries

**Copy for information:**

Mr. Árni M. Mathiesen, Assistant Director-General, Fisheries and Aquaculture Department  
Mr Hiromoto Watanabe, Secretary of COFI

## Guidance notes for COFI/2011/Inf. 11

### Global Record of Fishing Vessels, Refrigerated Transport Vessels and Supply Vessels

1. During its Twenty-eighth Session in 2009 the FAO Committee on Fisheries supported convening a technical consultation on the Global Record of Fishing Vessels, Refrigerated Transport Vessels and Supply Vessels following the Expert Consultation on that subject which had been held in 2008. 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 was held in Rome from 8 to 12 November 2010.
2. This Technical Consultation produced a report containing 11 recommendations (COFI/2011/Inf.11) which collectively provide the necessary guidance for the continued development and implementation of the Global Record. The primary goal of the Global Record is combating Illegal, Unreported and Unregulated (IUU) Fishing and related activities by facilitating increased transparency in the fisheries sector. The Global Record is envisaged as a broad-based, fundamental tool to provide vessel identification information in the fight against IUU activities.
3. The Technical Consultation's recommendations reflect a pragmatic approach to development and implementation and identify:
  - a) a flexible and phased approach that accommodates different practices and capabilities of States;
  - b) the importance of a unique vessel identifier system;
  - c) the need to identify specific information requirements for smaller vessels;
  - d) the development of the Global Record as a voluntary initiative with an evaluation after a first implementation phase to determine whether a binding instrument is needed; and
  - e) the need for appropriate capacity building assistance to developing States.

The full text of all recommendations is contained in (COFI/2011/Inf.11).

4. In addition, the Technical Consultation requested that COFI consider two important issues. First, whether or not the Global Record should be managed within FAO and separately, whether the associated database should be developed and located within FAO or whether an external database provider should be contracted to provide these services. Second, it was agreed that long-term certainty of funding was essential whatever funding option was decided on by COFI. With respect to the first issue, the Technical Consultation strongly endorsed the principle that FAO should develop and manage the Global Record but it requested that the FAO Secretariat produce an additional, new paper detailing a comparison of the costs associated with each of the three hosting and management options discussed. That cost-comparison paper is attached as Annex II. It can also be found at <http://www.fao.org/cofi/cofi2011/64143/en/> and will be provided in hard copy at the COFI meeting.
5. The options put forward for consideration with regard to where the Global Record database should be located and how its information services should be managed are:
  - 1) FAO to provide both the management services for the Global Record and the required technical database services.
  - 2) FAO to provide management services for the Global Record but technical database services to be contracted out to a third party.

- 3) Both the management and technical database services to be hosted outside FAO by a third party.
6. A detailed summary of the costs associated with developing the Global Record entirely within FAO (Option 1) is included in the attached Annex II. With regard to Options 2 and 3, EQUASIS has indicated that it is unable to proceed with a collaborative arrangement with the Global Record given its focus on safety. Due to the timing of FAO's request and the scope of the initiative, the IMO Secretariat is also not in a position to develop the type of costing information desired at this time. Nevertheless, IMO has played a significant role in the Global Record project to date, having facilitated a pilot project to test the Global Record concept. IMO is also committed to continuing its support of matters relating to fishing vessels, particularly those issues covered under IMO instruments and it is keen to maintain dialogue with FAO to maximize operational synergies and information sharing.

#### **SUGGESTED ACTION BY THE COMMITTEE**

7. The Committee is invited to consider and endorse the comprehensive set of 11 recommendations of the Global Record Technical Consultation; and
8. The Committee is further invited to confirm that the Global Record should be located and managed within FAO and consider how the funds needed for its development, operation and maintenance, will be provided.

**An estimation of costs associated with the development and maintenance of the Global Record of Fishing Vessels, Refrigerated Transport Vessels and Supply Vessels over its first ten years**

**Introduction**

1. 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 has provided the Twenty-ninth Session of COFI with a package of recommendations which collectively describe the proposed scope, design, development and implementation of the Global Record. (COFI/2011/Inf.11)

**Background**

2. The questions of where the Global Record should be hosted and how its database services should be managed were left open for decision by COFI (see COFI/2011/Inf.11, Recommendation 7). In principle, the Technical Consultation supported FAO as its preference to host and manage the Global Record, but requested that the FAO Secretariat produce a cost comparison for COFI of the three options listed in para 3 below which were presented to the Technical Consultation. The Technical Consultation also noted the need for flexibility to enable the participation of fishing entities.
3. The options put forward for consideration were:
  - a. **Option 1: FAO to provide both the management services for the Global Record and the required technical database services:** i.e. FAO would provide: all administrative services required to establish and maintain the Global Record; a support programme to assist developing countries in their uptake of and participation in the Global Record; and the full range of technical database services required to provide an effective information platform for Global Record users.
  - b. **Option 2: FAO to provide management services for the Global Record but technical database services to be contracted out to a third party:** i.e. FAO would provide all administrative services as described in Option 1. Technical database services would be contracted out to a third party.

Two existing database systems were identified as potential hosts for the Global Record database because both currently manage a vessel database similar in structure to that needed for the Global Record — EQUASIS (a database of merchant vessels with a core focus on international vessel safety requirements) and GISIS (an IMO database with a similar mandate to that of Equasis).

**EQUASIS** is a database which is funded by a small group of contributing States and managed by the European Maritime Safety Agency (EMSA). It has a mandate focused solely on maritime safety for merchant vessels and while it was interested in extending this mandate to include fishing vessels it has ultimately decided that it could not include information beyond the scope of this safety mandate. On this basis, discussions have been discontinued and no costings are available for this option.

**GISIS** is a database which is operated by the International Maritime Organisation (IMO). GISIS has a similar mandate to that of EQUASIS and the IMO Secretariat has demonstrated a willingness to work with FAO in exploring the potential of GISIS to host the Global Record database. Under this option it was envisaged that FAO would retain management and operation of the Global Record and would contract with IMO for the provision of database services only. In other words, a section of the GISIS database would be adapted as a platform for the Global Record and the technical support services to maintain it would be provided by IMO. Information management functions and the relationship with States and other stakeholders would be managed through the Global Record Management Unit within FAO.

- c. **Option 3: Both the management and technical database services to be hosted outside FAO by a third party:** i.e. a third party organisation would take responsibility for the development and maintenance of the Global Record in all respects. There was very little support for this option among delegates attending the Technical Consultation.

#### **Current Situation (as of 17 January 2011)**

4. Option 1 has been assessed and the costs associated with developing and managing the Global Record entirely within FAO are summarized below.
5. Option 2 has been further examined and discussions have been held to determine whether the requested costing information can be provided for database services to the Global Record. The database systems considered were EQUASIS and GISIS.
6. While GISIS presents an excellent opportunity to utilize an existing platform, adaption for Global Record purposes would nevertheless be complex. In light of the recommendations from the Technical Consultation, the scope of the needed work may be more extensive than originally expected. IMO would also need to follow its own approval process before any long-term commitments to the Global Record project could be made and these processes are different to those of FAO.
7. With this in mind, IMO is not able to submit the requested cost estimates at this time. IMO has committed to ongoing dialogue on the Global Record to ensure that operational synergies in the parallel efforts of the two organizations are maximized.
8. It should also be noted that IMO has played a significant role in the Global Record project to date, having implemented a pilot project to test the Global Record concept at no cost to FAO.
9. Given the general support expressed at the Technical Consultation to locate the Global Record within FAO and the lack of required detail to provide terms of reference for commercial proposals to develop the Global Record externally, Option 3 has not been pursued.

#### **Cost estimate for the development and management of the Global Record within FAO (Years 1 - 10) -- Option 1:**

10. Assuming acceptance by COFI of the Technical Consultation's recommendations, the Global Record will be developed as a highly interactive database with vessel data at its core and associated vessel data introduced through complimentary information modules over time.

11. The following costing summary spans the first 10 years of the Global Record's existence. It provides for initial database development over 4 years and the introduction of all eligible vessels into the Global Record over an 8 year period. Computer hardware is programmed for replacement every 3 years on a standard replacement cycle and an annual inflation adjustment of 5% has been allowed for.

<b>Anticipated Establishment and Maintenance Costings for the Global Record within FAO Years 1 – 10 *</b>						
<b>Year</b>	<b>GR Management Unit</b>			<b>GR Technical Unit (database)</b>		<b>Total</b>
	<b>Set-up &amp; Operating Costs</b>	<b>Salary &amp; Support Costs</b>	<b>UVI Management Fee<sup>1</sup></b>	<b>Set-up &amp; Maintenance Costs</b>	<b>Salary &amp; Support Costs</b>	
<b>Year 1 (2011)</b>	27,500	486,668	104,000	144,000	512,581	<b>1,274,749</b>
<b>Year 2 (2012)</b>	5,775	1,176,861	546,000	25,000	1,498,640	<b>3,252,276</b>
<b>Year 3 (2013)</b>	6,064	1,426,873	573,000	26,250	1,573,572	<b>3,606,059</b>
<b>Year 4 (2014)</b>	6,367	1,698,944	601,965	143,326	1,114,777	<b>3,565,378</b>
<b>Year 5 (2015)</b>	0	1,785,107	632,063	34,729	917,671	<b>3,369,570</b>
<b>Year 6 (2016)</b>	0	1,874,362	663,666	36,465	860,331	<b>3,434,825</b>
<b>Year 7 (2017)</b>	0	1,968,081	696,850	172,298	903,348	<b>3,740,576</b>
<b>Year 8 (2019)</b>	0	2,066,485	731,692	46,903	948,515	<b>3,793,595</b>
<b>Year 9 (2020)</b>	0	1,689,943	768,277	49,249	995,941	<b>3,503,409</b>
<b>Year 10 (2021)</b>	0	1,774,440	806,691	206,844	1,045,738	<b>3,833,713</b>

\* The costs in the table above vary slightly from those presented in the Technical Consultation as those costs were indicative only. Additional review of the phased implementation process since the Consultation has allowed further refinement of the cost estimates. The costs listed above do not include the costs of assistance and needed capacity development programmes for developing countries. These will need to be planned separately. The programme of capacity building and assistance to developing States should be provided throughout the 8 year period of development and implementation of the Global Record.

<sup>1</sup> Assuming acceptance by COFI of the Technical Consultation's recommendations, States will submit the required vessel data to IHS-Fairplay in order to have UVIs issued for their vessels. IHS-Fairplay will then issue the UVIs at no cost to the flag State and maintain the data quality through its worldwide network. In assessing the likely costs, a fee has been factored in for IHS-Fairplay to provide this service of issuing the UVIs and maintaining the associated data quality. This fee is based on an initial estimate by IHS-Fairplay as to the likely cost but it will be reassessed after the initial two years. If FAO had to replicate the service provided by IHS-Fairplay and manage a newly developed UVI numbering system for the Global Record, the cost would be much greater.