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منظمة  
الأمم المتحدة  
للإغذية والزراعة

## THIRD MEETING OF THE GLOBAL RECORD INFORMAL OPEN-ENDED TECHNICAL AND ADVISORY WORKING GROUP (GRWG)

Rome, Italy 26-28 June 2017

### KEY DISCUSSION ITEMS

#### Background/Introduction

The 32<sup>nd</sup> session<sup>1</sup> of the Committee on Fisheries (COFI) held in 2016 expressed strong support for the Global Record and its continued development and recognized it could play an important role as a tool in combating illegal, unreported and unregulated (IUU) fishing and supporting the implementation of the Port State Measures Agreement (PSMA) and other related international instruments. The Committee also urged broader participation, including the provision of data by Members.

Since COFI 32, a Pilot Project<sup>2</sup> was launched on 21 December 2016 with 11 pilot partners<sup>3</sup> providing a good geographic coverage. On 21 April 2017, the first working version<sup>4</sup> of the Global Record Information System was launched and made available to all FAO Members through restricted access for this initial phase. With COFI 33 (July 2018) in mind, consideration should be given to the possibility of releasing the first publicly available version prior to that event.

With the aim of further advancing the development and initiate implementation of the Global Record, this document explores the main issues to be discussed by the third meeting of the Global Record Working Group (GRWG).

Agenda items:

#### 8. The Global Record Information System

The pilot project provided an opportunity to test the information system with real data both for the search functionalities and the upload mechanism. One of the findings of the pilot project is that some countries face some difficulties in providing data to the Global Record which underlines the need for capacity development. The data provided covered mainly the vessel details module, historical data and authorizations for fishing vessels, refrigerated transport vessels and also supply vessels. One partner also provided

<sup>1</sup> <http://www.fao.org/3/a-i6882e.pdf>

<sup>2</sup> <http://www.fao.org/in-action/global-record/background/global-record-pilot-project/en/>

<sup>3</sup> Colombia, Comoros, Ghana, Iceland, Indonesia, Mauritius, Mozambique, Philippines, Seychelles, Spain and Uruguay.

<sup>4</sup> <http://www.fao.org/in-action/global-record/news-events/detail/en/c/882133/>

inspection and surveillance data and port entry denials which served as a test case for linking these information modules with the others through the Unique Vessel Identifier (UVI). All data was retained in the information system except for the last two modules, inspection and surveillance and port entry denials, given the advice provided by the GRWG2 to not fill the 5 essential data fields with information other than coming from the flag State.

It is now important to create a momentum and not to delay the implementation of the system and also to use the opportunity of the year ahead before COFI 33 to show results to the international community.

At this point the Global Record Information System is half way through its development phase based on the medium-term (5 year) proposal presented in the Strategy document<sup>5</sup>. This version includes sufficient features and functionalities to be considered ready for its release to the FAO Members, keeping in mind that improvements and new developments to strengthen the tool will continue.

Consequently, the release also marks the beginning of the implementation phase in which countries/partners will have to start uploading data.

Once a sufficient level of fleet coverage is reached (the reference will be related to phase 1), the next step could be taken to make the public release. It is strategically important to reach this point prior to COFI 33, and for that, concerted efforts are to be made.

**a. First working version:**

**i. User experience**

The first working version of the Global Record Information System is simple and easy to use with logical sequencing of the main features and functionalities. The system currently runs in English language only but will also be available in French and Spanish too. Other languages are under consideration given the difficulties and the cost of developing a system working in multiple languages. Consideration is also being given to developing the system as a dynamic web application that can work in most types of terminals including tablets and smart phones. This feature would enhance the possibilities for users to rely on the Global Record directly from the harbor or as needed.

**ii. Features and functionalities**

Query (search) functionalities, data validation, error reporting, user management and data upload were developed and allow i) data from Members to be uploaded to the system, ii) an initial quality check to be carried out as well as iii) display and search of the information inserted. The query allows a simple search, when the user knows exactly the vessel he/she is searching for, and an advanced search, when the user is tracking down a vessel for which the main identification information is not available. In this case, the user can start querying the system and add information to the latest query to narrow the search.

This process is very intuitive and takes the user through three different levels: 1) a summary of the global fleet included in the Global Record, 2) a subsample of it from the search and 3) detailed information of a particular vessel organized in 6 different

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<sup>5</sup> <http://www.fao.org/cofi/33133-01d7de5488a77180759efacea7c39dbb7.pdf>

modules: vessel details, historical details, authorizations, inspection and surveillance, port entry denials and IUU vessel lists. In addition, information external to the system can be consulted through a deep-hyperlink that takes the user directly to additional information on that particular vessel contained in other systems.

A data upload functionality was developed following GRWG2 advice<sup>6</sup> on using CSV files for direct upload through the web portal<sup>7</sup>. Basic instructions are available in the site, together with CSV templates for data upload and files with the data requirements for ease of use. This functionality also allows viewing previous files uploaded for reference.

The data validation includes an error reporting functionality that sends automatic messages to the user regarding the results of the upload, with specifications on the number of records inserted and rejected and, for the latter, a placeholder for any individual errors identified together with some indication of the error itself for correction.

Further features and functionalities will be implemented during the coming months. These include improved global picture, automatic data exchange through use of schemas developed through UN/CEFACT<sup>8</sup>, and advanced validation. An initial test will be carried out with the EU and possibly other countries, towards the end of 2017.

### iii. Participation

The implementation of an automatic data exchange mechanism will ease participation and eliminate burden from the Members. Delayed participation by some Members seem to respond in most cases to an initial period of preparation of the data in the formats required and agreed by the GRWG. In addition, lack of participation might also be linked to lack of capacity to undertake the necessary adjustments. Several Members are currently in contact with the Secretariat for clarifications on the data upload procedures and are expected to upload data soon. Participation is key to advance the Global Record and has been identified in the Strategy document as a risk factor for the implementation of the Global Record.

*The GRWG3 is requested to advise on possible ways of improving the user experience and any further feature or functionality that could make the Global Record Information System more useful and easy to use. The GRWG3 is invited to encourage broader participation to the Global Record and identify areas that might need action from FAO.*

## b. Rules and procedures

### i. Frequency of data submission

Given that COFI 31 agreed that the data and its submission (possibly through RFMOs) is the responsibility of the State generating it, it is recommended that frequency of data submission is determined by each Member State (or RFMO) participating to the Global Record. For data to be relevant it needs to be updated as soon as any change occurs. Different modules of information might require different frequencies of upload. Vessel details and historical information modules are expected to be more static than the others. Other similar systems seem to receive data on a

<sup>6</sup> Three different mechanisms of data exchange should be developed to allow developed and developing countries to submit information. See <http://www.fao.org/3/a-i5793e.pdf>

<sup>7</sup> <http://www.fao.org/in-action/global-record/information-system/en/>

<sup>8</sup> [http://www.unece.org/cefact/xml\\_schemas/index](http://www.unece.org/cefact/xml_schemas/index)

weekly, monthly or yearly basis, but this might jeopardize the effectiveness of the Global Record as a tool to fight IUU fishing, since reliable, up-to-date information is necessary to take actions against IUU perpetrators.

### **ii. Data quality**

Current data validation procedures are very simple and deal mainly with basic data types (text, numbers, alphanumeric, reference) and ranges with broad intervals (in this initial phase). More advanced data validation procedures will be implemented in the next phase of development to refine the data quality to the highest standards possible for a global system like this one. The error reporting feature currently implemented provides the user with information regarding number of entries accepted or rejected, and indication of the location of those errors and some brief explanation of actions to be taken.

Another additional way of improving data quality would be to compare (cross-checking) flag State data with IHSM&T data (the 5 essential data fields offered) and report any discrepancies to the flag State for consideration. Development of this feature depends on the outcomes of discussion under Agenda item 7, ‘IHSM&T revised offer for inclusion of vessel data into the Global Record’<sup>9</sup>. In the same way, the GRWG3 might consider checking port and coastal State data (the 5 essential data fields only) against flag State data<sup>10</sup>.

It is a proven fact that transparency improves data quality as many users could detect mistakes in the data and report to the system. In this line, consideration should be given to the usefulness of users reporting errors detected into the system.

### **iii. Data conflicts**

Data conflicts could be expected in a global system where some States might decide to transfer the duty (and responsibility) of data submission to the relevant RFMOs. For example, data for the same vessel could eventually be provided by two different RFMOs (for vessels authorized to operate in different areas in different periods) and potentially show discrepancies. The most crucial of these discrepancies being the ones related to vessel details module (identification, registration, characteristics, ownership, etc.). Discrepancies could also raise in any other module, depending on the level and type of validation that would be implemented.

The Global Record Information System is conceived as a single-access point for all vessel-related data critical to fight IUU fishing. Only a single record per vessel of certified<sup>11</sup>, reliable and up-to-date information should be included. Consequently, it becomes necessary to decide whether to: i) establish conflict-resolution protocols, at least for discrepancies in the 5 essential fields or ii) designate a single RMFO as source of data (per vessel type? Species? Area?).

A suggested procedure for conflict resolution could be as follows: originating State data prevails; when conflicts arise (discrepancy of incoming data with data already in the system), a message will be sent to both sources (and to the originating State) indicating the discrepancy, and including a request to clarify it within 24-48 hours; when a response is lacking, the original data stays as the State is fully responsible for the data.

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<sup>9</sup> <http://www.fao.org/fi/static-media/MeetingDocuments/GlobalRecord/GRWG3/3e.pdf>

<sup>10</sup> A discussion in this regard took place in GRWG2, where it was decided that port or coastal State data (the 5 essential fields for identification) should not replace flag State data whilst it is missing. However, consideration might be given to its potential use for cross-checking.

<sup>11</sup> by the State originating it

*The GRWG3 is requested to provide guidance on the desired frequency of data submission to the Global Record, advanced data validation procedures including or not the possibility of checking data against IHSM&T, port and coastal States and even general users, if necessary. The GRWG3 is also requested to advise on procedures to deal with data coming from RFMOs including, if relevant, resolving data discrepancies.*

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

As previously indicated, COFI 32 “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”.

Back in 2014, the Strategy document<sup>12</sup> provided some initial detailed indications in Appendix 1 “Synergies with international instruments” on ways in which the Global Record could support i) the implementation of the PSMA, ii) Flag State Performance and iii) Market Related Measures.

With the PSMA recently entering into force (5 June 2016) and the Voluntary Guidelines for Catch Documentation Schemes (VG-CDS) having been approved by the Third Resumed Technical Consultation (5 April 2017) and put forward for adoption by the FAO Conference (3-7 July 2017), it is now the right moment to consider ways in which these instruments can create stronger synergies to fight IUU fishing and close the net around IUU perpetrators.

**PSMA**

At the first<sup>13</sup> meeting of the Parties (29-31 May 2017, Oslo, Norway) several Parties indicated that:

- (Paragraph 13) “consideration should be given to the role of complementary instruments and tools in supporting the Agreement, in particular the Global Record of Fishing Vessels, Refrigerated Transport Vessels and Supply Vessels (Global Record), the Voluntary Guidelines for Catch Documentation Schemes, and tools developed by regional fisheries management organizations (RFMOs)”
- (Paragraph 14) “it was stressed that critical challenges, such as information on transshipments, development of robust risk assessment procedures, cooperation throughout the value chain and real time information on vessels and inspection results, should be addressed”.

It seems clear that the Global Record can support PSMA implementation at least in two ways:

1. On the verification and validation by the port State of the information to be provided in advance by (foreign) vessels requesting port entry. This will support the decision of authorizing or denying port entry and use of port;

<sup>12</sup> <http://www.fao.org/cofi/33133-01d7de5488a77180759efacea7c39dbb7.pdf>

<sup>13</sup> <http://www.fao.org/fi/static-media/MeetingDocuments/PSMA/Parties/adoptedreport.pdf>

2. In carrying out risk analysis to understand if the vessel is suspicious of IUU fishing and take decisions for inspection or not;  
And this is particularly important for obtaining information on non-Party vessels.

### **VG-FSP**

With regards to the Voluntary Guidelines for Flag State Performance<sup>14</sup>, the Global Record can support certain duties of the flag State, such as:

1. Adequate registration procedures; through verification of vessel records and their history (to avoid registration of vessels with a history of non-compliance or registered in another State);
2. Granting authorization (to fish, transship or other) to vessels with an “unique, internationally recognized identification number” and a clean record of compliance;
3. Transparency of information through information exchange and use of international standards.

All of the above apply to fishing vessels but also to refrigerated transport vessels and supply vessels, which are also included in the Global Record.

### **VG-CDS**

The Voluntary Guidelines for Catch Documentation Schemes<sup>15</sup> build on the primary responsibility of the flag State to fight IUU fishing, ensuring that catches are taken consistently with applicable international, regional and national conservation and management measures (thus preventing products derived from IUU fishing from entering the supply chain).

In this regard, the Global Record can support the traceability of fish and fish products from the landing or transshipping point to final destination throughout the market chain by:

1. Linking the vessel and fish products through the Unique Vessel Identifier (UVI) that should be included in all documentation related to the product (accompanied with a unique and secure document number);
2. Verifying the legal (or not) origin of fish and fish products (track the product back to its source, the vessel);
3. Supporting risk analysis to design and implement CDS.

Again, the above apply not only to fishing vessels but also to support vessels, fish-processing vessels, vessels engaged in transshipment and carrier vessels equipped for the transportation of fishery products, except container vessels. The latter categories refer to refrigerated transport vessels and supply vessels.

### **UNFSA**

The United Nations Agreement for the Implementation of the Provisions of the United Nations Convention on the Law of the Sea of 10 December 1982 relating to the Conservation and Management of Straddling Fish Stocks and Highly Migratory Fish Stocks<sup>16</sup>, in its Article 18 indicates the duties of flag States which relate to those indicated in the IPOA-IUU and VG-FSP for which the Global Record can play a role as indicated above.

<sup>14</sup> <http://www.fao.org/3/a-i4577t.pdf>

<sup>15</sup> <http://www.fao.org/fi/static-media/MeetingDocuments/CDS/TC2016/wpAnnex.pdf>

<sup>16</sup> [http://www.un.org/depts/los/convention\\_agreements/convention\\_overview\\_fish\\_stocks.htm](http://www.un.org/depts/los/convention_agreements/convention_overview_fish_stocks.htm)

With regards to data exchange, Annex I<sup>17</sup> Article 7, indicates in paragraph 2 that “*At the global level, collection and dissemination of data should be effected through the Food and Agriculture Organization of the United Nations*”.

Additionally, the Global Record has adopted the list of serious violations listed in Article 21, Paragraph 11 as the reference list for the “Infringement/apparent infringement” data field of the inspections and surveillance module. This is very useful in building a global standard and spreading its use to facilitate the detection and analysis of IUU activities.

### **2030 Agenda for Sustainable Development**

The Oceans Conference in New York, marked a milestone for the international community in terms of fulfilling Sustainable Development Goal (SDG) 14<sup>18</sup> to conserve and sustainably use the oceans, seas and marine resources for sustainable development. Target 14.4 specifically addresses the fight against IUU fishing and results are expected as early as 2020. The Global Record will increase transparency and traceability and it will strengthen synergies among all instruments mentioned above and others, so as to close the net over IUU perpetrators to effectively prevent, deter and eliminate IUU fishing.

*The GRWG3 is requested to provide advice on any potential developments on the Global Record that could further strengthen its role in support of international initiatives to fight IUU fishing and create stronger synergies.*

## **10. Capacity development support**

COFI 31<sup>19</sup> appreciated FAO’s continued assistance to developing States in the context of the Global Record. In the same line, the two Global Record Working Group meetings recognized the importance of providing assistance to developing countries in order to enable them to participate by integrating their data within the Global Record information system. Later, COFI 32 urged broader participation, including the provision of data by Members.

The GRWG is also tasked through its Terms of Reference to provide guidance to “*Identify key issues and Member States, in particular developing States, and regions for capacity building, including identifying relevant areas for technical assistance*”.

The provision of capacity development support is key to an adequate and broad implementation of the Global Record.

The Strategy document suggested a capacity development framework consisting on some of the following:

- ✓ study of background information including through questionnaires;
- ✓ awareness-raising;
- ✓ capacity development and harmonization workshops;
- ✓ gap analysis;
- ✓ customized implementation of recommended activities;
- ✓ targeted assistance; and
- ✓ running pilots.

<sup>17</sup> Standard requirements for the collection and sharing of data.

<sup>18</sup> <https://oceanconference.un.org/sdg14>

<sup>19</sup> <http://www.fao.org/3/a-i4634e.pdf>

Some of these activities have already taken place in the past with great limitations mainly due to insufficient funds. Now that the implementation phase has started, dedicated funds will be sought to support developing States.

It could be beneficial to focus on users and data providers, and collaboration with RFMOs, to align Members' and RFMOs' information systems with Global Record data requirements and data exchange mechanisms.

*The Working Group is requested to provide guidance on priority issues/areas and countries/regions for the provision of assistance to enable developing States to participate in the Global Record.*

## **12. Other matters**

### **Transshipment**

Given the fact that IUU fishing is not carried out by fishing vessels alone, COFI 32 noted a proposal, made by the United States of America, and encouraged FAO to initiate work on transshipments and provided additional suggestions regarding, among others, the use of the Global Record. Given that the Global Record includes vessels involved in transshipments, such as the refrigerated transport vessels, it could play a key role in bringing transparency to transshipment practices, authorization, notification and reporting requirements and procedures.

MARITIME SAFETY COMMITTEE  
98th session  
Agenda item 22

MSC 98/22/6  
8 March 2017  
Original: ENGLISH

**ANY OTHER BUSINESS**

**Amendments to resolution A.1078(28) on the IMO Ship Identification Number Scheme**

**Submitted by Iceland, Spain, Vanuatu, FAO and WWF**

**SUMMARY**

*Executive summary:* This document proposes amendments to resolution A.1078(28) to extend the non-mandatory application of the *IMO Ship Identification Number Scheme* to fleets of passenger ships of less than 100 gross tonnage, high-speed passenger craft, and mobile drilling units covered by SOLAS regulation V/19-1; fishing vessels of non-steel hull construction of 100 gross tonnage and above; and all motorized inboard fishing vessels of less than 100 gross tonnage down to a size limit of 12 metres in length overall (LOA), that are authorized to operate outside waters under national jurisdiction of the flag State

*Strategic direction:* 5.3

*High-level action:* 5.3.1

*Output:* No related provisions

*Action to be taken:* Paragraph 11

*Related documents:* Resolution A.1078(28); Circular Letter No.1886/Rev. 6; III 3/13/2 and MSC 97/17/1

**Introduction**

1 The Sub-Committee on Implementation of IMO Instruments (III), at its third session, endorsed the issuance of Circular Letter No.1886/Rev.6, which indicates that Administrations may obtain on a voluntary basis unique vessel identification numbers within the IMO Ship Identification Number Scheme for passenger ships of less than 100 gross tonnage, high-speed passenger crafts and mobile drilling units covered by SOLAS regulation V/19-1; for fishing vessels of non-steel hull construction of 100 gross tonnage and above; and for all motorized inboard fishing vessels of less than 100 gross tonnage down to a size limit of 12 metres in length overall (LOA), that are authorized to operate outside waters under national jurisdiction; as presented in document III 3/13/2 (Secretariat) on *IMO Ship Identification Number Scheme*.

2 This document is submitted in order to propose amendments to resolution A.1078(28) to consolidate the extension of the non-mandatory application of the *IMO Ship Identification Numbering Scheme* to the ranges of vessels referred to in paragraph 1.

## **Background**

3 The IMO Ship Identification Number Scheme was introduced in 1987 through the adoption of resolution A.600(15), as a measure to enhance maritime safety, pollution prevention and security. It aimed at assigning a permanent number to each ship for identification purposes. That number would remain unchanged upon change of name or ownership and transfer of the ship to other flag(s) and would be inserted in the ship's certificates. The Scheme applies to seagoing ships of 100 gross tonnage and above and is managed exclusively by IHS Maritime & Trade (IHSM&T).

4 The IMO Ship Identification Number Scheme was revised to allow its application to fishing vessels of 100 gross tonnage and above, by adopting resolution A.1078(28), which revoked resolution A.600(15).

5 Taking into account the fact that IHSM&T is now able to assign unique identification numbers, through improved internal processes, beyond the initial restricted scope of ships of not less than 100 gross tonnage, the identification scheme can support the implementation of mandatory provisions, such as SOLAS regulation V/19-1 on long-range identification and tracking of ships, by the assignment of identification numbers to some fleets of passenger ships of less than 100 gross tonnage, high-speed passenger craft and mobile drilling units.

6 IHSM&T is also now able to assign unique identification numbers to all fishing vessels of non-steel hull construction of 100 gross tonnage and above. This will enable the inclusion of these vessels within the Global Record of Fishing Vessels Refrigerated Transport Vessels and Supply Vessels – in support of the Food and Agriculture Organization of the United Nations (FAO).

7 In addition, IHSM&T is also now able to assign unique identification numbers to all motorized inboard fishing vessels of less than 100 gross tonnage down to a size limit of 12 metres in length overall (LOA), that are authorized to operate outside waters under national jurisdiction of the flag State. This measure will have the benefit of introducing unique identification numbers for the majority of vessels on Regional Fisheries Management Organization (RFMO) databases, and will make it easier for the members of RFMOs to mandate the requirement of unique vessel identifiers (UVI) for the majority of fishing vessels operating in their areas.

8 The expansion of the fleets covered by unique identification numbers in paragraphs 4 and 5, is also consistent with recommendations from the 3rd Joint FAO/IMO Ad Hoc Working Group on Illegal, Unreported and Unregulated Fishing and Related Matters.

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## Proposal

9 In order to extend the voluntary application of the IMO Ship Identification Number Scheme to these ranges of vessels, the following amendments to the resolution A.1078(28) are suggested:

- .1 in paragraph 2:
  - .1 adding "and all motorized inboard fishing vessels of less than 100 gross tonnage down to a size limit of 12 metres in length overall (LOA), that are authorized to operate outside waters under national jurisdiction of the flag State"; and
  - .2 amending "wooden ships in general" to read "wooden ships with the exception of fishing vessels";
- .2 making editorial changes to replace IHS-Fairplay with IHS Maritime & Trade (IHSM&T) and update the relevant contact details; and
- .3 editorial and procedural changes in paragraphs 11, 12, 13 and 14 on the methods for obtaining numbers.

10 The co-sponsors consider that the draft proposed amendments to resolution A.1078(28), as set out in the annex, should be considered by the Committee for approval prior to submission to the Assembly, at its thirtieth session, for adoption.

### Action requested of the Committee

11 The Committee is invited to consider the proposed amendments to resolution A.1078(28) for approval prior to submission to the Assembly, at its thirtieth session, for adoption.

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**ANNEX**

**DRAFT ASSEMBLY RESOLUTION**

**IMO SHIP IDENTIFICATION NUMBER SCHEME**

THE ASSEMBLY,

RECALLING Article 15(j) of the Convention on the International Maritime Organization concerning the functions of the Assembly in relation to regulations and guidelines concerning maritime safety and the prevention and control of marine pollution from ships,

BELIEVING that the enhancement of maritime safety and pollution prevention and the prevention of maritime fraud could be facilitated if a permanent identification number were assigned to a ship which would remain unchanged upon transfer of its flag and would be inserted on ships' certificates,

RECALLING ALSO that, by resolution 1, the Conference of Contracting Governments to the International Convention for the Safety of Life at sea, 1974 (1974 SOLAS Convention), held at IMO Headquarters in May 1994, adopted amendments to 1974 SOLAS Convention, inter alia, by addition of a mandatory regulation of ship identification number scheme (current SOLAS regulation XI-1/3), which entered into force on 1 January 1996,

RECALLING ALSO that, by resolution MSC.202(81), the Maritime Safety Committee, at its eighty-first session, adopted, amendments to 1974 SOLAS Convention with regard to long-range identification and tracking of ships (SOLAS regulation V/19-1), which entered into force on 1 January 2008,

RECALLING FURTHER that, by resolution A.1078(28), it adopted the *IMO Ship Identification Number Scheme*,

RECOGNIZING the need for the *IMO Ship Identification Number Scheme* to be revised to allow its application to passenger ships of less 100 gross tonnage, high-speed passenger craft, and mobile drilling units covered by SOLAS regulation V/19-1; fishing vessels of non-steel hull construction of 100 gross tonnage and above; and all motorized inboard fishing vessels of less than 100 gross tonnage down to a size limit of 12 metres in length overall (LOA), that are authorized to operate outside waters under national jurisdiction of the flag State.

HAVING CONSIDERED the recommendation made by the Maritime Safety Committee at its [ninety-eighth] session,

- 1 ADOPTS the IMO Ship Identification Number Scheme, for implementation on a voluntary basis, as set out in the annex to the present resolution;
- 2 INVITES Governments concerned to implement the scheme as far as is practicable, and to inform the Organization of measures taken in this respect;
- 3 REQUESTS the Maritime Safety Committee to keep the scheme under review for further improvement as may be necessary;
- 4 REVOKES resolution A.1078(28).

## Annex

### IMO SHIP IDENTIFICATION NUMBER SCHEME

#### Introduction

1 The purpose of the scheme is to enhance maritime safety and pollution prevention and to facilitate the prevention of maritime fraud. It is not intended to prejudice matters of liability, civil law or other commercial considerations in the operation of a ship. The scheme may be applied by Administrations on a voluntary basis for new and existing ships, under their flag, engaged in international voyages. Administrations may also wish to assign the IMO numbers to ships engaged solely on domestic voyages and to insert the number in the national certificates.

#### Application

2 The scheme applies to seagoing ships of 100 gross tonnage and above; passenger ships of less than 100 gross tonnage, high-speed passenger crafts and mobile drilling units, which engaged on international voyage (SOLAS regulation V/19-1); and to all motorized inboard fishing vessels of less than 100 gross tonnage down to a size limit of 12 metres in length overall (LOA) that are authorized to operate outside waters under national jurisdiction of the flag State, with the exception of the following:

- ships without mechanical means of propulsion;
- pleasure yachts;
- ships engaged on special service\*;
- hopper barges;
- ~~hydrofoils, hovercraft;~~
- floating docks and structures classified in a similar manner;
- ships of war and troop ships; and
- ~~wooden ships in general,~~ other than fishing vessels.

#### Assignment of IMO number

3 The IMO number is a number, allocated by IHS Maritime & Trade (IHSM&T) at the time of build or when a ship is first included in the register, with the prefix IMO (e.g. 8712345). Administrations which have decided to implement the scheme are invited to assign all appropriate ships flying their flags, or cause them to be assigned, the IMO numbers and to insert them on ships' certificates.

4 For new ships, the assignment of the IMO number should be made when the ship is registered. For existing ships, the assignment of the IMO number should be made at an early convenient date, such as when the renewal survey is completed or new certificates are issued.

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\* For example, lightships, floating radio stations, search and rescue vessels

5 Administrations implementing the scheme beyond its mandatory scope are invited to inform the Organization accordingly, for circulation to other Governments.

6 Official publications and other information from IHSM&T are sources for referencing the identification number. If the particulars of a ship do not correspond to those shown in the Register of Ships and its supplement because, for example, the ship had changed its name, or the port State control officer had doubts as to whether the numbers given on the certificates were genuine, further clarification may be sought from IHSM&T, the IMO Secretariat or the flag State.

### **Certificates on which the IMO number is to be inserted**

7 The IMO number should be inserted on a ship's Certificate of Registry which includes the particulars identifying the ship, and on all certificates issued under IMO Conventions when and where appropriate. It is recommended that the IMO number also be inserted in other certificates, such as classification certificates, when and where appropriate. The IMO number should preferably be included in the box headed "Distinctive number or letters" in addition to the call sign.

### **How to obtain the IMO number**

8 To obtain an IMO number for both new and existing ships and making ad hoc enquiries, please contact the following website <http://imonumbers.ihs.com> or requests can be sent to the IHSM&T Service, as the quickest route for issuance of a number, at the following address:

IHS Maritime & Trade  
Sentinel House  
163 Brighton Road  
Coulsdon, Surrey CR5 2YH  
United Kingdom  
Email: [ship.imo@ihs.com](mailto:ship.imo@ihs.com)  
Tel: +44 (0)1334 328300 (General Contact)  
+44 (0) 20 3253 2404 (IMO Ship Team)  
Fax: +44 (0)20 3253 2102

### **New ships (on order and under construction)**

9 The IMO number can be obtained by one of the following methods:

- .1 inquiries should be addressed to IHSM&T by telephone, email or facsimile. In making such inquiry particulars of the ships, should be presented\*

Based on the above information, IHSM&T will provide the necessary IMO number free of charge. If there is no data in the IHSM&T new construction file on the ship concerned, a new record on that ship will be created and the IHSM&T number will be assigned;

- .2 online access to the new construction file through Sea-web (IMO has access to this system); or

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\* List of particulars can be found in the form annexed to circular letters on the IMO Ship Identification Number Scheme (e.g. Circular letter No.1886/Rev.6).

- .3 application through IHSM&T, which will provide a service of regular listings of the order book with selected data items, produced for a client's specification.

### **Existing Ships**

10 For existing ships, IHSM&T is prepared to answer ad hoc requests free of charge up to a reasonable point of acceptability.

11 IHSM&T are able to both validate and issue IMO numbers to Administrations through regular fleet data exchanges with the Administration, as set out in Circular Letter No.1886/Rev.6, which may be amended.

12 In order to issue accurately IMO numbers to fishing vessels of less than 100 gross tonnage down to a size limit of 12 metres LOA, that are authorized to operate outside waters under national jurisdiction of the flag State, IHSM&T will need to have prior confirmation by the Administration of the vessels that qualify.

### **Inquiry to the IMO Secretariat**

13 Assigned identification numbers are available in the IMO Global Integrated Shipping Information System (GISIS) module on "Ship and Company Particulars" on <https://gisis.imo.org/Public/SHIPS/Default.aspx>, and may also be obtained free of charge from the IMO Secretariat, (Maritime Safety Division – facsimile: +44(0)20 7587 3210 or email: [IMONumbers@imo.org](mailto:IMONumbers@imo.org)) which has access to the Sea-web system, and the IHSM&T directly, at the address in paragraph 8.