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

London, UK, 11-13 April 2018

KEY DISCUSSION ITEMS

The Global Record Working Group is invited to:

- Consider recommending the implementation of the IMO ship identification number scheme as per IMO Resolution A.1117(30) at national and regional levels, as relevant.
- Consider the proposed classification of vessel types and provide guidance on its applicability to operational data for control and enforcement purposes in the context of the Global Record. Similarly, the working group should review the applicability of the revised classification of gear types in the context of the Global Record.
- Consider promoting the submission of data to the Global Record system through FLUX and an increased participation of FAO Members in this process.
- Consider the interaction between the information exchange mechanism to be developed for the PSMA with the Global Record information system given the fact that the Global Record primarily contains flag State information which is required to link the results of an inspection to a particular vessel.
- Promote States' participation to the Global Record information system for its public launch before COFI33 (July 2018).

Background

The 32nd session¹ of the Committee on Fisheries (COFI) held in July 2016 expressed strong support for the Global Record and its continued development, and recognized that it is an important tool in combating illegal, unreported and unregulated (IUU) fishing, including through its supporting role in the implementation of the Agreement on Port State Measures (PSMA) and other complementary international instruments. The Committee also urged broader participation, including the submission of data by Members.

Following the 32nd session of COFI, a Pilot Project² was launched on 21 December 2016 with 11 pilot partners³ representing a good geographic coverage. On 21 April 2017, the first working version⁴ of the Global Record Information System was launched and made available for all FAO Members to submit their information and access the records, with restricted access for this initial phase. In view of the upcoming 33rd session of COFI (July 2018), consideration should be given to the importance of releasing the first publicly available version prior to the session.

State of affairs

The third meeting of the Global Record Working Group⁵ (GRWG3) held in June 2017 advised on ways to broaden participation through the availability of a number of upload mechanisms, including direct submission by the State's administration or importation of data from information systems of IHSM&T and Regional Fisheries Management Organizations (RFMOs) subject to the State's approval. It also called for a clear procedure to officially designate National Focal Points (NFPs). To this effect, FAO circulated a

¹ <http://www.fao.org/3/a-i6882e.pdf>

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

³ Colombia, Comoros, Ghana, Iceland, Indonesia, Mauritius, Mozambique, Philippines, Seychelles, Spain and Uruguay.

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

⁵ GRWG/4/2018/Inf.6: Report of the third meeting of the Global Record Working Group at <http://www.fao.org/fi/static-media/MeetingDocuments/GlobalRecord/GRWG4/Default.html>

letter dated 18th January 2018, informing about the upcoming fourth meeting of the GRWG and calling for the designation of NFPs for the Global Record.

Since the release of the first working version, several States submitted data to the Global Record system, but focus remains on expanding participation further for the Global Record to become a useful tool in fighting IUU fishing. It is relevant to note that the regions of Latin America and Europe have been particularly active in uploading data in the first quarter of 2018.

Further details shall be provided during the working group meeting.

States' participation

States are invited to deliver presentations on the process implemented to submit data to the Global Record system, including information on:

- ✓ number of fishing vessels with IMO numbers (Unique Vessel Identifier or UVI)
- ✓ number of transport vessels (transshipment) and supply vessels
- ✓ data fields of the “vessel details” module uploaded to the Global Record:
 - 5 essential data fields: UVI, flag State, name of vessel, LOA, GT or GRT
 - other vessel details: identification, registration, dimensions, ownership, construction.
- ✓ other modules uploaded to the Global Record: history, authorizations, inspection and surveillance, port entry denials
- ✓ challenges faced in the data upload process

IMO Resolution A.1117(30)

In 2014, the 31st session⁶ of COFI “appreciated the collaboration with IMO in extending its ship identification number scheme to fishing vessels and agreed that the IMO Ship Identification Number (IMO number) should be used as the Global Record’s unique vessel identifier (UVI) for Phase 1⁷; and noted that several RFMOs have made provisions for the IMO number to be compulsory in their convention areas”.

⁶ <http://www.fao.org/3/a-ML770e.pdf>

⁷ All vessels of 100 gross tonnage, or 24 m, and above

On 18 December 2017, IMO Resolution A.1078(28) on the IMO ship identification number scheme was amended through IMO Resolution A.1117(30) by which “the scheme now applies to ships of 100 gross tonnage and above, including fishing vessels of steel and non-steel hull construction; [...]; and to all motorized inboard fishing vessels of less than 100 gross tonnage down to a size limit of 12 meters in length overall (LOA) authorized to operate outside waters under the national jurisdiction of the flag State”.

This new resolution covers vessels in Phases 2⁸ and 3⁹ of the Global Record, making it possible to request IMO numbers for smaller vessels and those of non-steel hull, which represent a relevant segment of the fleet in several countries and regions.

The scheme *per se* is voluntary and free of charge. However, it is mandatory for certain vessel categories under international instruments, such as SOLAS Convention¹⁰, and binding regulations adopted by RFMOs, and in many instances is applicable to different length and tonnage categories. Some States have also included the requirement for IMO numbers for various categories under their national law.

Resolution A.1117(30) encourages administrations to “apply the scheme to new and existing ships under their flag engaged in international voyages. Administrations may also wish to assign IMO numbers to ships engaged solely on domestic voyages and to insert the number in the national certificates”.

Keeping in mind that the objective of the Global Record is to fight IUU fishing and that the UVI is the key component of this global system to ensure adequate identification of vessels at global level and enhanced traceability of the information (e.g. changes in name, flag, ownership), as well as of fish products through the value chain, the Working Group could consider recommending that State authorities and RFMOs put requirements in place at national and regional levels, as relevant, to ensure that the IMO number is applied to eligible vessels.

The Working Group could consider recommending the implementation of the IMO ship identification number scheme as per IMO Resolution A.1117(30) at national and regional levels, as relevant.

⁸ All vessels between 50 and 100 gross tonnage, or between 18 and 24 m

⁹ All vessels between 10 and 50 gross tonnage, or between 12 and 18 m

¹⁰ International Convention for the Safety of Life at Sea, 1974 (SOLAS Convention)

Global Record information system updates

The second and third meeting of the GRWG advised on developing four different mechanisms for submitting data to the Global Record:

1. manual input through a web form
2. manual upload through CSV files
3. direct automatic transfer from State's official system through FLUX¹¹
4. importing data from IHSM&T and RFMOs information systems following explicit online approval by the State

The manual upload has been operational since the launch of the system in April 2017. Import of the 5 essential data fields (UVI, flag State, vessel name, LOA and GT/GRT) from the IHSM&T information system is to be operational in the second quarter of 2018 to facilitate a swift incorporation of States data in view of the public launch of the system prior to COFI33 together with the manual input to facilitate submission by States having few vessels with IMO numbers. Direct automatic transfer from a State's official system through FLUX, as the preferred option for upload, will be implemented and tested with the European Union in the second quarter of 2018. Other States are encouraged to contact the Global Record Secretariat directly at the meeting or through FI-Global-Record-Data@fao.org to initiate the process of implementing FLUX to connect their systems with the Global Record. Import from RFMOs' systems would be possible on a phased approach as FLUX is being implemented by several RFMOs for the data exchange with their contracting parties or with other international organizations.

ISSCFV – vessel types (fishing vessels, transshipping vessels, supply vessels)

The Global Record Strategy Document¹² put forward reference code lists that were referenced or in use in several international instruments and by RFMOs. The main ones included the ISO 3166-1 alpha-3 (ISO3) country codes, International Standard Statistical Classification of Fishery Vessels by Vessel Types (ISSCFV) and International Standard Statistical Classification of Fishing Gear (ISSCFG).

¹¹ See section below on "Data exchange standards and mechanisms: Fisheries Language for Universal eXchange (FLUX)

¹² <http://www.fao.org/3/a-bl006e.pdf>

The ISSCFV and ISSCFG were developed by the Coordinating Working Party (CWP) on Fisheries Statistics¹³ and published in the Handbook of Fishery Statistical Standards¹⁴ in its Annex L.II¹⁵ (ISSCFV as approved by CWP-12 in 1984) and Annex M.I (ISSCFG as approved on 29 July 1980).

These two reference code lists developed for statistical purposes, together with other lists suggested in the Strategy Document were considered by the Meeting of the Global Record Specialized Core Working Groups (GRCGs)¹⁶ in 2015 which confirmed the use of those two reference code lists. The advice of the GRCGs with regards to these two lists was validated by the second meeting of the Global Record Working Group (GRWG) in 2016. Thus the reference lists for vessel and gear types currently in use in the Global Record are those approved in 1984 and 1980 respectively as shown in document GRWG/4/2018/Inf.10¹⁷ and GRWG/4/2018/Inf.11¹⁸.

The CWP started a review process of both reference code lists. The ISSCFG (gear type) has been reviewed¹⁹ and approved. The ISSCFV (vessel type) is currently under review. The history of the review process for the ISSCFV (vessel type) is summarized in Appendix I.

The proposed amendments to the ISSCFV (vessel type) are presented in GRWG/4/2018/Inf.9²⁰ in two tables. Table 1 contains the ISSCFV 2005 (including 2007 amendment) revision. The classification, as indicated in the first column, is split between fishing vessels (defined as: “vessels engaged only in catching operations”) and non-fishing vessels (defined as: all the other fishery vessels”). Table 2 is a correspondence table between the old and new classifications, with the original classification listed on the left. The table is useful for the purposes of matching the old classifications with the new. Reference descriptions of the vessel types are available here: <http://www.fao.org/fishery/vesseltype/search/en>

Given the role of the Global Record as an operational tool to fight IUU fishing and not a statistical data collection tool, the Global Record Working Group is invited to consider

¹³ <http://www.fao.org/cwp-on-fishery-statistics/en/>

¹⁴ <http://www.fao.org/cwp-on-fishery-statistics/handbook/tools-and-resources/en/>

¹⁵ <http://www.fao.org/tempref/FI/DOCUMENT/cwp/handbook/annex/annexLII.pdf>

¹⁶ <http://www.fao.org/3/a-bl767e.pdf>

¹⁷ <http://www.fao.org/fi/static-media/MeetingDocuments/GlobalRecord/GRWG4/Inf10e.pdf>

¹⁸ <http://www.fao.org/fi/static-media/MeetingDocuments/GlobalRecord/GRWG4/Inf11e.pdf>

¹⁹ <http://www.fao.org/3/bt988e/bt988e.pdf>

²⁰ <http://www.fao.org/fi/static-media/MeetingDocuments/GlobalRecord/GRWG4/Inf9e.pdf>

the amendments proposed by the CWP and provide guidance through the following options:

1. The acceptance of the proposed amendments and thus the new classification for use within the Global Record system
2. Put forward further proposals for amendments that will apply in the Global Record context
3. Continue using the 1984 classification of vessel types for the Global Record
4. Defer this guidance/analysis to the Global Record Core Specialized Group (GRCG) for further analysis of the implications (impacts/benefits) to national systems.

A similar consideration should be given to the ISSCFG.

The Global Record Working Group should consider the proposed classification of vessel types and provide guidance on its applicability to operational data for control and enforcement purposes in the context of the Global Record. Similarly, the working group should review the applicability of the revised classification of gear types in the context of the Global Record.

Data exchange standards and mechanisms: Fisheries Language for Universal eXchange (FLUX²¹).

The Global Record Working Group agreed on the development of a number of data exchange mechanisms to cater for differences in States' systems and provide different options in order to be in a position to submit data to the Global Record system and expand participation. The two manual and two automatic mechanisms of submitting data were described in a previous section of this document²².

FLUX, or Fisheries Language for Universal eXchange involves a global and participative process for developing data standards and formats for fisheries data under the custodianship of the United Nations Centre for Trade Facilitation and Electronic Business²³ (UN/CEFACT) which serves as the focal point for trade facilitation

²¹ <http://www.fao.org/fi/static-media/MeetingDocuments/GlobalRecord/GRWG4/Inf12e.pdf>

²² See section above on "Global Record information system updates"

²³ <https://www.unece.org/cefact/>

recommendations and electronic business standards within the United Nations framework.

The Global Record initiative started participating in this process as early as late 2012 through the formulation and proposal, in collaboration with the European Union, of the Vessel Domain (Business Requirements Specification - Vessel Information Exchange), as per GRWG/2015/1/Inf.10²⁴, under the “Electronic data exchange for fisheries control and management” (Fisheries Business Domain).

The objective of the development of FLUX was to standardise the exchange of fishing fleet data, more specifically the information directly related to fishing vessels and vessels supporting fishing operations. Data fields, and their related definitions, were proposed for the communication of information of vessel characteristics between interested parties²⁵, and optionally the history of changes applied on the vessel characteristics. This resulted in an XML schema being made available to cover fleet data exchange in its broadest sense, which can be customized according to the specific needs of particular applications, such as the Global Record.

Other domains of relevance to the Global Record have been formulated, namely:

- ✓ Fishing Licenses, Authorizations and Permits (FLAP Domain)
- ✓ Electronic Inspection Reports (Inspection domain)

Other domains not directly relevant to the Global Record include:

- ✓ Vessel Positions Domain
- ✓ Fishing Activities Domain

Considering the above, it is fair to say that the necessary standards, and thus the relevant data formats, for the exchange of data are now available, albeit subject to further reviews as may be required.

The next stage is the use of a transmission mechanism whereby data is transferred from one point to another automatically. The transmission mechanism being implemented for the Global Record is called the FLUX Transportation Layer (FLUX-TL) which is an open source (OS) software (thus free) that makes it possible to connect the Global Record

²⁴ http://www.fao.org/fishery/docs/DOCUMENT/global_record/2015/inf10e.pdf

²⁵ Including vessels' Flag States, International Institutions / Organisations, Regional Fishery Bodies (RFBs) and Regional Fishery Management Organisations (RFMOs).

information system with any other system belonging to the data provider (State or other recognized data source).

In order to establish a connection through FLUX, the development of operational rules (such as necessary data fields, frequency of transmission, reporting messages, process for overwriting/deletion of data, etc.) to organize the transfer of data is currently ongoing.

The use of automatic data exchange through FLUX is the preferred option for submission of data by States to the Global Record system given the advantages of an automatic connection between the systems. An initial investment would be required but in the medium and long-term it would provide major benefits given by the efficiency of the process through defined rules and mechanisms; any change introduced in a national fleet register connected to the Global Record would be reflected in real-time in the Global Record system (for those data fields subject to the agreement/operational rules). This would avoid regular manual interventions. It is clear that in order to effectively fight IUU fishing, the timely sharing of accurate and updated information is fundamental.

A dedicated Team of Specialists²⁶ has taken the lead in taking FLUX forward and promoting its use. Several RFMOs and FAO Members are starting to use it or consider its use for their fisheries data exchanges.

The Global Record Working Group is invited to consider promoting the submission of data to the Global Record system through FLUX and an increased participation of FAO Members in this process.

Support for the implementation of the FAO Agreement on Port State Measures

At the first meeting²⁷ of the PSMA several Parties indicated that 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, the Voluntary Guidelines for Catch Documentation Schemes, and tools developed by regional fisheries management organizations (RFMOs).

²⁶ <https://www.unece.org/sftos-firstmtg-2018.html>

²⁷ <http://www.fao.org/3/a-i7909e.pdf>

The third meeting of the GRWG highlighted the importance of urgently advancing the Global Record to support the implementation of the PSMA, particularly in relation to data verification and risk analysis.

The vessel details included in the Global Record (identification, registration, dimensions, ownership and construction) as well as the historical information (flags, names, owners and operators) and authorizations (type, period, area, species, gear) would be very valuable to the port State in verifying the information required in Annex A of the Agreement²⁸ (Information to be provided in advance by vessels requesting port entry).

On the other hand, the historical information (as per above) and compliance information provided through the summary modules on port entry denial (port, date, reason) and inspection and surveillance (port, date, apparent infringement, outcome) could prove very valuable in supporting risk analysis at this initial stage.

The first meeting of the PSMA Open-Ended Technical Working Group on Information Exchange²⁹ (TWG-IE) to be held from 16-18 April 2018 in London, UK, will discuss the development of an information exchange mechanism³⁰ to support the implementation of the Agreement. Consideration should be given to the interaction of this mechanism with complementary tools such as the Global Record, given the fact that the Global Record primarily contains flag State information which is required to link the results of an inspection to a particular vessel.

The Global Record Working Group should consider the interaction between the information exchange mechanism to be developed for the PSMA with the Global Record.

Broadening States' participation prior to public release

Recognizing i) the need for the Global Record to be publicly available to increase transparency and traceability required to fight IUU fishing at global level and ii) the need for the timely release of the Global Record information system to support the implementation of the PSMA and other complementary instruments such as the UN Fish Stocks Agreement, and iii) the experience gained through the prototype project and the

²⁸ <http://www.fao.org/3/a-i5469t.pdf>

²⁹ <http://www.fao.org/fishery/nems/41012/en>

³⁰ <http://www.fao.org/fi/static-media/MeetingDocuments/PSMA/OpenEndedTWG/2018/2e.pdf>

pilot system, FAO is now in a position to release the first public version of the Global Record information system.

The release will take place prior to COFI33 for FAO Members to be able to appreciate the usefulness and role of this global initiative in the fight against IUU fishing.

It is of utmost importance to increase participation through the submission of data for the initiative to have the desired impact and effectively support the implementation of the above-mentioned international instruments. Furthermore, participating States could showcase their commitment to fight IUU fishing by demonstrating their collaborative will and collective efforts to address the problem.

Meanwhile States are encouraged to submit or update, at least, the five essential data fields that constitute the minimum requirements.

The Global Record Working Group is invited to promote States' participation to the Global Record information system prior to its public launch.

Capacity development support

The third meeting of the GRWG agreed that capacity development should be planned and implemented in a coherent way with other capacity development initiatives such as those related to the PSMA to foster coordination at national level, develop integrated systems and promote Global Record standards.

FAO has developed a Global Capacity Development Umbrella Programme to support the implementation of the Port State Measures Agreement, related instruments and complementary MCS operations, measures and tools to combat IUU fishing.

This programme includes the Global Record and States are encouraged to request assistance, as required, to participate in the Global Record initiative. Of particular interest are the following areas:

- ✓ implement FLUX for automatic data exchange
- ✓ promote the use of international standards in use in the Global Record
- ✓ upgrade of national systems as needed

Appendix I

History of the review process for the ISSCFV (vessel type):

- 1984 – CWP 12:ISSCFV by Vessel Type approved.
- 2001 – CWP 19 (Jul 10-13): Presentation of proposal for revising the 1984 classification keeping in mind the need to streamline/simplify the document.
- 2003– CWP 20 (Jan 21-24): After extended discussions by CWP members, it was re-stated that the ISSCFV categories should be based on consideration of vessel structural characteristics, but with agreement that some category terms should be revised to better reflect vessel types currently used in fisheries. Local vessel types’ (e.g. ‘bottom otter trawler’) may be added as required at the third level as examples of vessel types. The third level categories could be placed under either the category or sub-category, as appropriate.
- 2005 – CWP 21 (Mar 1-4): Revised ISSCFV by vessel type accepted and approved (but not published) with a move to two-level classification hierarchy as well as the creation of a flexible third level that could be customized to allow for specific vessel types to be accommodated, as required in the individual CWP members’ contexts.
- 2007- CWP 22 (Feb 26- Mar 2): Proposed amendment for the 2005 ISSCFV with the retention of a category for ‘non-fishing’ support vessels.
- 2016 – CWP 25 (Feb 25-27): Post-meeting decision to find agreement with members for completing the publication/release of the 2005 ISSCFV.
- 2017 – CWP Intersessional Meeting (June 19-22): Agreement to circulate a feedback survey to CWP members in work to finalize the classification revision before CWP 26.