

COUNCIL
118th session
Agenda item 17(d)

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EXTERNAL RELATIONS

(d) Relations with non-governmental organizations

Note by the Secretary-General

SUMMARY

<i>Executive summary:</i>	This document transmits eight new applications for consultative status
<i>Strategic direction:</i>	1.2
<i>High-level action:</i>	1.2.1
<i>Output:</i>	1.2.1.1
<i>Action to be taken:</i>	Paragraph 3
<i>Related documents:</i>	None

New applications for consultative status

1 Since the 116th session of the Council in July 2016, eight new applications for consultative status have been received from the following organizations:

- Union of African Shippers' Councils (UASC);
- International Ship Engineering Service Association Ltd. (ISES);
- Project Developer Forum (PD-Forum);
- International Association of Technical Survey and Classification Institutions (TSCI);
- Active Shipbuilding Experts' Federation (ASEF);
- The Pew Charitable Trusts (Pew);
- The International Grain Trade Coalition (IGTC); and
- Stop Illegal Fishing (SIF).

2 The questionnaires completed by each of these organizations in connection with their applications for consultative status are reproduced in annexes 1 to 8¹. Additional relevant documentation and information have been provided by the applicant organizations. This additional documentation will be made available in electronic form only and may be accessed from IMODOCS (<http://docs.imo.org/Category.aspx?cid=629>).

Action requested of the Council

3 The Council is invited to consider the applications for consultative status submitted by UASC, ISES, PD Forum, TSCI, ASEF, Pew, IGTC and SIF, and decide as it may deem appropriate.

¹ The use of particular designations of countries or territories in these annexes does not imply any expression or opinion or judgement by IMO as to the legal status of such countries or territories, or of their authorities and institutions or of the delimitation of their boundaries, nor should it be construed as an endorsement or recommendation on the part of IMO.

ANNEX 1

INTERNATIONAL MARITIME ORGANIZATION (IMO)

**QUESTIONNAIRE
FOR NON-GOVERNMENTAL INTERNATIONAL ORGANIZATIONS (NGOs) APPLYING
FOR CONSULTATIVE STATUS WITH IMO**

In completing this questionnaire, the NGO should take into account the *Rules and Guidelines on Consultative Status for Non-Governmental International Organizations with the International Maritime Organization*.

1. Name and acronym of the NGO:

Union of African Shippers' Councils (UASC)

2. Address of headquarters:

P.O Box 12969
Douala – Cameroon
Centre des Affaires Maritimes – Bonanjo – Immeuble IGH – 5th floor

Telephone: +237 233 43 70 45

Fax: +237 233 43 70 75

Email: infos.ucca.sg@gmail.com /
contact@sg-ucca.org

Website: www.sg-ucca.org

3. Addresses of all branches and/or regional headquarters:

To be confirmed: Annex UASC member addresses

4. Name and contact details of a point of contact for the purposes of the application:

UASC Secretary-General
Mr. Adamou SALEY ABDOURAHAMANE
Email: saley_adamou@yahoo.fr
Mobile: +237 651903179
Tel.: +237 233 43 70 85

or

UASC Chairman
KOFI MBIAH
Chief Executive Officer of Ghana Shippers' Authority (GSA)
Email: kmbiahami@gmail.com
Mobile: +233 244312684

5. Aims and purposes of the NGO (as set forth in its Constitution, Statutes or By-Laws; please provide an electronic copy separately):

- Strengthening of cooperation among member councils; strengthening of mechanisms for providing assistance to shippers,
- Strengthening of consultation and negotiation mechanisms with liner conference, shipowners servicing African ports and /or any other shipowner associations, agents and all the actors of the transport chain in general;
- Reduction and control of the incidence of transport costs on the economies of African States;
- Tracking of maritime and multimodal traffic;
- Management and exploitation of traffic rights originating from member countries' foreign trade;
- Promotion of transport chain and any co-operation policy aimed at protecting the interests of shippers' in problems related to the carriage of goods;
- Establishment and maintenance of co-operation relations with transport companies and associations, ports, shippers' councils of foreign countries, sub-regional, regional and international organizations and institutions:
- Consolidation of export and import goods;
- Simplification and facilitation of foreign trade administrative and customs procedures and formalities;
- Facilitation of transit traffic to landlocked countries;
- Any other objective that might be set by the General Assembly.

6. a. Length of time the NGO has been in existence:

39 years.

b. History of the NGO:

In order to actively involve shippers of developing countries in the formulation of the maritime sector's policies, the second session of the United Nations Conference on Trade and Development (UNCTAD), held in New Delhi in 1968, recommended the establishment of institutions capable of defending the interests of shippers against international shipowners.

In accordance with this recommendation, several shippers' councils were established in West and Central Africa in the 70s.

The Ministerial Conference of West and Central Africa on Maritime Transport (MINCONMAR), which became the Maritime Organization of West and Central Africa (MOWCA) in 1999, decided on the establishment of specialised organs at its third General Assembly held in Accra (Ghana) from 23 to 26 February, 1977. Hence the creation of the Union of African Shippers' Councils. The Union goes by the acronym: "UASC". It is a specialised organ of MOWCA in the same capacity as the Port Management Association of West and Central Africa (PMAWCA) based in Nigeria.

UASC became operational in 1986 with the election of its first Secretary-General and the signing of the Headquarters Agreement with the Government of Cameroon on 29th November, 1988, which established its Headquarters in Douala (Republic of Cameroon) where it is found till date. By signing this agreement, the Cameroon Government recognised the legal personality of UASC and granted its Secretary-General the status of Accredited Head of Diplomatic Mission. The Union's Headquarters (Office premises and residence) also enjoys the privileges and immunities associated with the said agreement.

UASC began its activities with 16 member councils or similar organisations. Today, this number has risen to 19.

7. Recent and planned activities:

Recent activities:

- Set up of an expert group to sensitize member shippers' councils on SOLAS amendments Chapter VI/2 relating to the weighing of containers before loading them on board the ship;
- Organization of a workshop on transport costs and connectivity;
- Organization of a workshop on IMO FAL Convention.

Planned activities:

- Organization of a sub-regional seminar on trade facilitation and establishment of FAL Committees/ National Trade Facilitation Committees in West and Central African countries;
- Conduct a study for controlling maritime transport and port transit costs.

8. Descriptive statement of the extent to which the purposes of the NGO relate to those of IMO, in particular what contribution the NGO can make to the work of IMO, including its technical co-operation programme:

UASC's objectives on maritime transport facilitation relate to some of IMO's objectives.

In general, UASC works towards bringing states to ratify and implement certain conventions.

9. Structure:

- 1 General Assembly comprising all members
- 1 Steering Committee made up of a Chairman, a Vice-chairman, two Rapporteurs, a Statutory Treasurer and Two Standing Committee Chairmen;
- 2 Auditors;
- 1 General Secretariat serving as executive organ.

10. Membership (nature of membership, name of members and country where their main offices are based):

- ❖ Angola: Angola National Shippers' Council (CNCA);
- ❖ Benin: Benin National Shippers' Council (CNCB);
- ❖ Burkina Faso: Burkinabe Shippers' Council (CBC);
- ❖ Cameroon: Cameroon National Shippers' Council (CNSC);
- ❖ CAR: Central African Republic Shippers' Council (CCAC);
- ❖ Congo: Congo Shippers' Council (CCC°.
- ❖ Côte d'Ivoire: Côte d'Ivoire Shippers' Council (OIC);
- ❖ Gabon: Gabon Shippers' Council (CGC)
- ❖ Ghana: Ghana Shippers' Authority (GSA);
- ❖ Guinea: Guinea Shippers' Council (OGC);
- ❖ Guinea Bissau: Guinea Bissau National Shippers' Council (CNC/GB);
- ❖ Equatorial Guinea: Equatorial Guinea Shippers' Council (CCGE);
- ❖ Mali: Mali Shippers' Council (CMC);
- ❖ Niger: Niger Council of Public Transport Users (CNUT);
- ❖ Nigeria: Nigerian Shippers' Council (NSC);
- ❖ DR Congo: DR Congo Shippers' Council (OGEFREM);
- ❖ Senegal: Senegal Shippers' Council (COSEC);
- ❖ Chad: Chad Shippers' Council (COC-TCHAD);
- ❖ Togo: Togo National Shippers' Authority.

11. Officers:

- Chairman
- Vice-chairman
- Secretary-General

12. Indicate whether the NGO is a member of, affiliated to, or otherwise associated with another non-governmental international organization which enjoys consultative status or has other forms of association with IMO:

No

13. Relations with intergovernmental organizations:

- UNCTAD
- UNCITRAL
- CEMAC
- WAEMU
- MOWCA
- PMAWCA

14. Indicate by what means IMO could participate in the NGO's activities:

UASC will invite IMO to participate in some of its activities (Workshops, Forums, Assemblies, African Shippers' Day, etc.).

15. Indicate by what means the NGO will promote and disseminate the principles and work of IMO:

- Organization of seminars and workshops on issues relating to IMO's activities in all member countries (maritime transport facilitation, maritime safety and security);
- Invitation of IMO to present papers during big UASC's events such as the General Assembly, the African Shippers' day;
- Creation of a link or space for IMO on UASC's official website.

16. Finance (source of funding and evidence of financial sustainability):

Contributions from members since its establishment, and subsidies for some projects.

17. List of publications and/or other relevant documentation:

- The African Shippers' Newsletter;
- West and Central African Shippers' Councils Directory.

18. Additional information which the NGO may wish to provide:

ANNEX 2

INTERNATIONAL MARITIME ORGANIZATION (IMO)

QUESTIONNAIRE FOR NON-GOVERNMENTAL INTERNATIONAL ORGANIZATIONS (NGOs) APPLYING FOR CONSULTATIVE STATUS WITH IMO

In completing this questionnaire, the NGO should take into account the *Rules and Guidelines on Consultative Status for Non-governmental International Organizations with the International Maritime Organization*.

1. Name and acronym of the NGO:

International Ship Engineering Service (I.S.E.S.) Association Ltd

2. Address of headquarters:

Registered Address:

Dalton House, 60 Windsor Avenue
London, SW19 2RR, UK

Post Address:

Calle Fuente Nueva 6, Puerta 18
Algeciras, 11203, Cadiz, Spain

Telephone: Tel: +34 956 660 586

Fax:

Mob: +34 627 919 990

Email: Secretariat@isesassociation.com

Website: www.isesassociation.com

3. Addresses of all branches and/or regional headquarters:

N/A

4. Name and contact details of a point of contact for the purposes of the application:

Pepe Bris – Secretary General
Secretariat@isesassociation.com

Mob: +34 627 919 990

Post Address:

Calle Fuente Nueva 6, Puerta 18
Algeciras, 11203, Cadiz, Spain

5. Aims and purposes of the NGO (as set forth in its Constitution, Statutes or By-Laws; please provide an electronic copy separately):

- 3.1 To enrol ship electrical, mechanical, electronic and specialised marine related repair companies, service companies and manufacturers who are undoubted experts in their field and of unquestionable integrity as members of the Association at major ports throughout the world and thereby provide shipowners, managers and operators with competent facilities for all onboard equipment.

- 3.2 To bring together suppliers of marine equipment or materials as affiliate members and shipowners / ship-managers / ship-operators as Associate Members.
- 3.3 To provide marine equipment manufacturers with a viable worldwide service organisation and encourage them to appoint ISES members as their service representatives at all ports where ISES members having the requisite skills are operating.
- 3.4 To enhance the cooperation and combine the efforts of members to ensure that a quality worldwide network is provided for customers.
- 3.5 To maintain good relations between the members of the Association and shipowners, managers and operators and to assist in the resolution of any dispute arising between members or any member and his client.
- 3.6 To do all such things as may reasonably be supposed to enhance the interests and reputation of the Association and its' members and continually to seek ways to provide all owners, managers and operators with improved facilities.

6. a. Length of time the NGO has been in existence:

Since 1963

b. History of the NGO:

- The International Ship Electrical and Engineering Service Association, I.S.E.S., has been set up in 1963 with the objective to create an independent, united, high quality marine service network to serve international shipowners, managers and operators.
- On the 1st March 1996, the Association amended its name from International Ship Electric Service Association (I.S.E.S.) Ltd to International Ship Electrical and Engineering Service Association (I.S.E.S.) Ltd, thus enabling it to broaden its base of activities including one new kind of member, Affiliate member, open to manufacturers of Marine Equipment.
- On the 3rd of June 2016, the name was amended to International Ship Engineering Service (I.S.E.S) Ltd Association and it was added a third kind of member, User Associate Member, open to Shipowners / Ship-Managers-Ship-Operators willing to use ISES members and get updated information about them in order to get "One Stop Shop".

7. Recent and planned activities:

- We have our 53rd Annual General Meeting in Cyprus from the 2nd to the 5th of June 2016.
- We participated with a stand to Posidonia Exhibition from the 7th to the 10th of June 2016.
- We attended with an stand to SMM Exhibition in Hamburg from the 6th to the 9th of September 2016.
- We will visit IMPA (International Maritime Purchasing Association) conference on the 21st of September 2016.
- We will visit METS exhibition in Amsterdam in November 2016.
- We will visit Workboat New Orleans in December 2016
- We will hold our 54th AGM in Singapore in April 2017

8. Descriptive statement of the extent to which the purposes of the NGO relate to those of IMO, in particular what contribution the NGO can make to the work of IMO, including its technical cooperation programme:

I.S.E.S. Association has members worldwide with thousands of technicians working on board vessels every day and dealing with sailors and manufacturers all the time. We can help in new regulations to increase the security, for instance, in ECDIS annual surveys, automation, E-Navigation, improving machinery and the electrical installation standards, etc.

9. Structure:

- 1) The President
- 2) The Vice-President
- 3) The Immediate Past President
- 4) Directors: 7
- 5) Secretary General

10. Membership (nature of membership, name of members and country where their main offices are based):

Right now we have 57 members based in 30 countries (they are related with Electrical, Electronics, Mechanical work and other technical services)

AUSTRALIA

AMI Group
Read's Electric Company PTY. Ltd

BELGIUM

Maintenance Partners NV

BRAZIL

Metalock Brasil

CANADA

Oasis Marine Ltd

CHINA

Huludao Haitong electric
Jiangsu Hiscaler Electric Co., Ltd
CETCME
Saiernico Electric & Automation Ltd
Seven Seas Electronics
Shanghai Marine Diesel Engine Research Institute
Shanghai NSE Co. Ltd.
Zhejiang Xin Ya Electric Development Co. Ltd.

CROATIA

A.B.E. Inženjering d.o.o.

CYPRUS

Tototheo Group

FRANCE

Marco

GERMANY

Ing. Buero Querin GmbH
Karle & Fuhrmann
Veinland GmbH

GIBRALTAR

Sandvik Marine Group (SMG)

GREECE

Nova Electronics SA

INDIA

AMES
Favourite Marine Services

ITALY

A. Santamaria Spa
S.I.R.M. Spa

JAPAN

Bemac Uzushio Electric Company Ltd

KOREA

Daeyang Electric Company Ltd
KTE Company Ltd
Kuk Dong Elecom Company Ltd
Sanil Electric Co. Ltd
TMS Solution Co. Ltd.
Wooshin APE

LITHUANIA

RSB Novikontas

MEXICO

MCCNS SA de CV

NETHERLANDS

Alphatron Marine B.V.

NIGERIA

Radial Circle Telecommunications Ltd

PANAMA

Electromar Services SA

Intermaritime Group

Hi - Tek Marine

Talleres Industriales SA

POLAND

ENAMOR

ROMANIA

Navtron SRL

SINGAPORE

Cyclect Electrical Engineering PTE Ltd

Jason Electronics Pte. Ltd.

New Funnels (s) Pte Ltd

SOUTH AFRICA

L.H. Marthinusen Cape Town

SMD Telecommunications Pty (Ltd)

SPAIN

AAGE Hempel

Alonza Berango S.L.

Crosscomar S.L.

SWEDEN

Laholm Marine & Industry Services AB

UNITED KINGDOM

SELEX Elsag (Marine Division)

USA

Belfor Inc.

Koffler Electrical Mechanical Apparatus Repair

Seaboard Controls INC

VENEZUELA

Radio Marina de Venezuela

11. Officers:

Only one as indicated in question 2.

12. Indicate whether the NGO is a member of, affiliated to, or otherwise associated with another non-governmental international organization which enjoys consultative status or has other forms of association with IMO:

NO

13. Relations with intergovernmental organizations:

NO

14. Indicate by what means IMO could participate in the NGO's activities:

All companies in the association are involve with Marine Electronics, Electrical and Mechanical services, therefore, all new regulations related with any of these fields will be relevant for the association, therefore, IMO can support and participate with us on global regulations.

15. Indicate by what means the NGO will promote and disseminate the principles and work of IMO:

We have members worldwide and we will get involve all members (C.E.Os, Technical Managers, Services Managers) with IMO regulations.
We will invite IMO members to our Annual General Meeting as well as exhibitions we participate.
ISES will have the IMO logo (member of IMO) in the website and any marketing material.

16. Finance (source of funding and evidence of financial sustainability):

Only from the Annual Fee of the Members.

17. List of publications and/or other relevant documentation:

N/A

18. Additional information which the NGO may wish to provide:

We do enclosed our byelaws, link to all members information and power point presentation.

ANNEX 3

INTERNATIONAL MARITIME ORGANIZATION (IMO)

QUESTIONNAIRE FOR NON-GOVERNMENTAL INTERNATIONAL ORGANIZATIONS (NGOs) APPLYING FOR CONSULTATIVE STATUS WITH IMO

In completing this questionnaire, the NGO should take into account the *Rules and Guidelines on Consultative Status for Non-governmental International Organizations with the International Maritime Organization*.

1. Name and acronym of the NGO:

Project Developer Forum Ltd. (PD-Forum)

2. Address of headquarters:

100 New Bridge Street
UK London EC4V 6JA

Telephone: +49 89 2351 9320-0

Fax:-

Email: office@pd-forum.net

Website: www.pd-forum.net

3. Addresses of all branches and/or regional headquarters:

c/o Carbon Integrity GmbH, Lohengrinstr. 41, 82110 Germering, Germany

4. Name and contact details of a point of contact for the purposes of the application:

Dr. Sven Kolmetz, Lohengrinstr. 41, 82110 Germering, Germany

5. Aims and purposes of the NGO (as set forth in its Constitution, Statutes or By-Laws; please provide an electronic copy separately):

improve the efficiency, legitimacy and functioning of the regulatory systems governing the development and use of emission reduction projects,
influence policy developments and regulatory standards related to emissions trading and emission reduction projects,
update and support independent standards and codes of conduct in order to further improve the integrity of the industry.

6. a. Length of time the NGO has been in existence:

Since 2009

b. History of the NGO:

Please see <https://www.pd-forum.net/downloadcenter/eb> for our history of submissions to the UNFCCC and other regulatory bodies related to emission trading

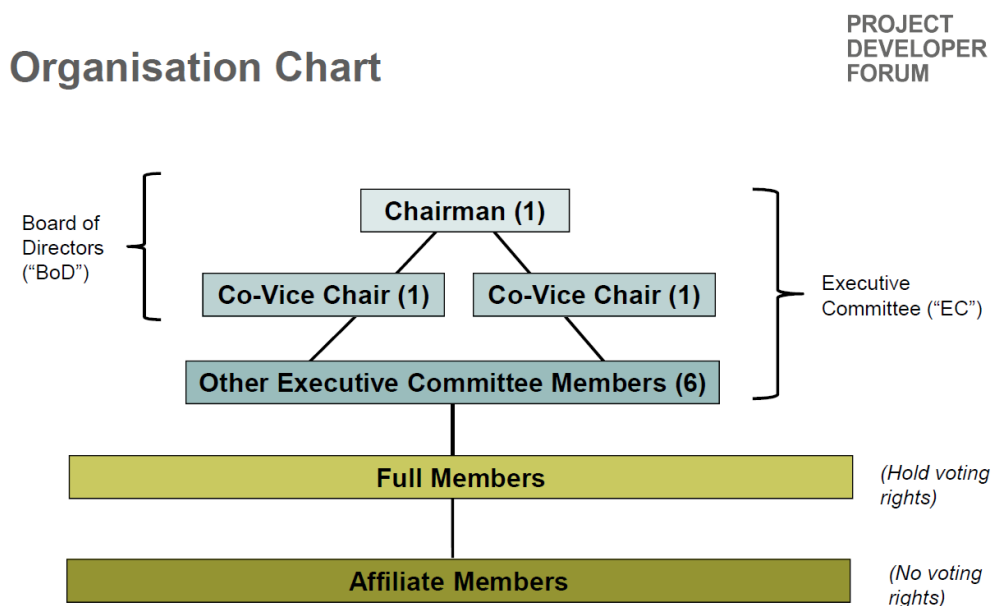
7. Recent and planned activities:

- Regular submissions to the UNFCCC Executive Board on regulatory issues
- Official observer of the climate negotiations under the convention of climate change (UNFCCC)

8. Descriptive statement of the extent to which the purposes of the NGO relate to those of IMO, in particular what contribution the NGO can make to the work of IMO, including its technical cooperation programme:

The PD-Forum can help the IMO to set up a well-working market based mechanism that will contribute to the IMO's obligation to reduce the GHG emissions of all kind of maritime activities. Emission trading is a very efficient and cost-effective tool to reduce GHG emissions that perfectly fits to an organisation that relies on open markets and global trade. A fair, transparent and integer market based mechanism may prevent trade barriers and trade wars that can evolve due to different ambition of countries regarding mitigation of climate change.

9. Structure:



10. Membership (nature of membership, name of members and country where their main offices are based):

No.	Name of company	Country of Member Organization
1		
2	AES Climate Solutions	U.S.A
3	FirstClimate (Switzerland) AG	Switzerland
4	Center for Environment and Economy	Japan
5	South Pole Carbon Asset Management Ltd	Switzerland

6	Agrinergy Pte Ltd	Singapore
7	C-Quest Capital LLC	U.S.A
8	Millennium Development Goals Carbon Facility (MDG Carbon Facility)	Slovak Republic
9	EQAO (formerly EcoPart Assessoria em Negocios Empresariais Ltda)	Brazil
10	Engie (formerly Electrabel S.A./N.V. (GDF Suez)	Belgium
11	Futurecamp	
12	Rough Climate	Switzerland
13	Mavi Consultants	Turkey
14	Climate Bridge Limited	British Virgin Islands
15	Mehr Renewable Energies Co. Ltd.	Iran
16	UPM Umwelt-Projekt-Management GmbH	China
17	Energy Changes Projektentwicklung GmbH	Austria
18	Promethium Carbon (Pty) Ltd	South Africa
19	Nexus, Carbon for Development	Cambodia
20	Uganda Carbon Bureau	Uganda
21	Ralph Westermann	Germany
22	Arauco Bioenergy	Chile
23	Richard Scotney	Switzerland
24	Dubai Carbon Centre of Excellence	Dubai
25	Climate Focus	The Netherlands
26	Christiaan Vrolijk	UK
27	Greentech Carbon Solutions Ltd	Bangladesh
28	Whave Solutions	Uganda
29	Carbonbay GmbH & Co. KG	Germany
30	Chris Villiers	UK
31	Kalite Group Ltd	Turkey
32	Rachel Child	UK
33	Lee International Business Development LLC	USA
34	Arig Bakhiet	Sudan
35	Ecosur Afrique / AERA GROUP	Mauritius
36	Alternative Energy Corporation	Singapore
37	Climate Mitigation Works Ltd.	UK
38	Carbon Africa	Kenya

11. Officers:

Chair: Dr. Sven Kolmetz, (on behalf of Climate Bridge)
Vice-chair: Philipp Hauser (on behalf of Engie)
Vice-chair: Rachel Child

12. Indicate whether the NGO is a member of, affiliated to, or otherwise associated with another non-governmental international organization which enjoys consultative status or has other forms of association with IMO:

None

13. Relations with intergovernmental organizations:

None

14. Indicate by what means IMO could participate in the NGO's activities:

IMO could support a market-based mechanism to offset maritime GHG emissions

15. Indicate by what means the NGO will promote and disseminate the principles and work of IMO:

The PD-forum has very good relationship to the UNFCCC and can promote the IMO principles and create a cooperation for mutual benefits.

16. Finance (source of funding and evidence of financial sustainability):

Membership fees
Financial statement 2015 attached

17. List of publications and/or other relevant documentation:

see <https://www.pd-forum.net/downloadcenter/eb>

18. Additional information which the NGO may wish to provide:

ANNEX 4

INTERNATIONAL MARITIME ORGANIZATION (IMO)

QUESTIONNAIRE FOR NON-GOVERNMENTAL INTERNATIONAL ORGANIZATIONS (NGOs) APPLYING FOR CONSULTATIVE STATUS WITH IMO

In completing this questionnaire, the NGO should take into account the *Rules and Guidelines on Consultative Status for Non-Governmental International Organizations with the International Maritime Organization*.

1. Name and acronym of the NGO:

Non-for-Profit Organization "International Association of Technical Survey and Classification Institutions"; (TSCI).

2. Address of headquarters:

15, bld. 2, Okruzhnoy proezd, Moscow, Russian Federation.

Telephone: +7 985 304 66 05

Fax:

Email: kozin@rivreg.ru

Website:

3. Addresses of all branches and/or regional headquarters:

TSCI does not have any branches and/or regional headquarters.

4. Name and contact details of a point of contact for the purposes of the application:

Mr. Mikhail Kozin, email: kozin@rivreg.ru, Phone: +7 985 304 66 05.

5. Aims and purposes of the NGO (as set forth in its Constitution, Statutes or By-Laws; please provide an electronic copy separately):

Subject of TSCI activities is the cooperation in the field of classification and certification of inland and river-sea navigation vessels, seagoing vessels, other floating objects, technical supervision over vessels and other transport, industrial and construction objects as well as cooperation in the field of certification of management systems, manufacture, products, works and services.

The main objectives of TSCI:

1. Improvement of activities aimed at determination of safety operation conditions of inland and river-sea navigation vessels, seagoing vessels and other floating objects, protection of human life on inland waterways and at sea, safety of cargoes carried by the vessels including dangerous goods, environmental protection.
2. Development and harmonization of requirements for ships and other supervised objects aimed at improvement of the Rules of TSCI members.

3. Improvement of technical survey over transport, industrial and construction objects.
4. Improvement of quality of rendered services in the field of classification, technical surveys and certification, as well as maintenance of internal quality system.

6. a. Length of time the NGO has been in existence:

The Memorandum of establishment of the International Association of Technical Survey and Classification Institutions — TSCI and the first Statute of TSCI were signed 17 December 1998.

TSCI is constituted and registered in Russian Federation on October 7th, 2002.

b. History of the NGO:

Cooperation among classification bodies called TSCI began on 15th of December, 1961, when the Intergovernmental Agreement on cooperation in the sphere of technical supervision over ships and their classification was signed by the representatives of the governments of Bulgaria, Hungary, GDR, Poland, Romania, USSR and Czechoslovakia. Later on Yugoslavia (SFRY), the Democratic People's Republic of Korea, Viet Nam and Cuba joined this Agreement.

The Agreement became the basis for a long-term, active and fruitful cooperation of ship technical survey and classification bodies (abbreviated – OTNK) of the countries – parties to the Agreement:

Bulgarian Register of Shipping;
Viet Nam Register of Ships;
Chief Inspection of Transport of Hungarian People's Republic;
DDR Schiffs Revision und Klassifikation;
Cuban Register of Shipping;
Register of Ships of the Democratic People's Republic of Korea (now Korea Classification Society);
Polish Register of Shipping;
Register of the USSR;
River Register of RSFSR;
Romanian Register of Shipping;
Czechoslovak Register of Shipping;
Yugoslavian Register of Shipping.

The main effect of the cooperation in the framework of OTNK was the development of OTNK Coordinated Rules aimed at improving the technical safety of ships and eliminating differences between national versions of the Rules.

In a relatively short period a set of Coordinated Rules has been developed:

Rules for the Classification and Construction of Sea-Going Ships;
Rules for the Statutory Equipment of Sea-Going Ships;
Rules for the Classification and Construction of Inland Navigation Ships;
Rules for the Construction of Containers and Guidelines for the Supervision of Freight Containers in Service;
Rules for the Prevention of Pollution from Ships.

The Coordinated Rules were issued in the form of master copies consisting of the main texts approved by all TSCI members (or by the majority of them) and a list of national divergencies from the Coordinated Rules for each OTNK member, if they existed. National editions of the Rules were developed and published on the basis of these master copies.

The unification of scientific potential of the societies and sharing of the results of scientific and technical researches according to development plans of OTNK Coordinated Rules made it possible to maintain the high technical level of the Rules.

In 1994 the Council of OTNK Directors made up a decision to interrupt cooperation on the basis of Intergovernmental Agreement of 1961. Political and economic changes which took place in the countries which signed this Agreement were the reason for this decision.

It was on the 4th of November, 1994, in Berlin, when the second stage of cooperation among technical survey and classification bodies began at the meeting organized by the representatives of member-organizations of the former Agreement. They expressed their intention to go on cooperating with each other and to develop their working partnership within the framework of new OTNK Agreement named the Cooperation Agreement of ship technical supervision and classification institutions. The representatives of the following Classification Societies signed this Agreement: Viet Nam Register, Joson Classification Society, RCB Sociedad Clasificadora, Polish Register of Shipping, Russian Maritime Register of Shipping, Russian River Register and Ukrainian State Inspectorate of Register and Navigation Safety which in 1998 was transformed into Shipping Register of Ukraine.

In 1996 Bulgarian Register of Shipping also endorsed this Agreement. One of the key tasks of the second stage of the cooperation was mutual elaboration of technical aspects in order to improve the Rules and regulations. Besides the introduction of quality management system was considered necessary for all TSCI members.

Quality and Port State Control (PSC) working groups were set up and began operating in the framework of the new Agreement of 1994.

However, the cooperation of OTNK was registered officially neither at the first stage, nor at the second one as it had no status of the intergovernmental organization or the international association.

December 15 – 17, 1998 is the date when the third, current stage of the international cooperation among classification societies and technical supervision bodies was set about at the Extraordinary Meeting of OTNK Directors in Gdansk.

The decision to establish the International Association of Technical Survey and Classification Institutions — TSCI was declared there, and for this purpose the Memorandum in Russian and English was signed by the participants.

The members of the newly founded Association became the parties which signed the Memorandum: Bulgarian Register of Shipping, Viet Nam Register, RCB Sociedad Clasificadora, Polish Register of Shipping, Shipping Register of Ukraine, Russian River Register, as well as Joson Classification Society (now Korea Classification Society), which joined the Memorandum in 1999.

Later on, International Naval Surveys Bureau (I.N.S.B.), Greece, and Slovensky Lloyd became the members of the Association at the plenary meeting of TSCI Council in May 22 – 24, 2001 in Moscow.

It was decided that permanently functioning TSCI body should be organized in the country of registration of the Association (TSCI Headquarters). TSCI Council decided to hold a registration procedure in the Russian Federation and to incorporate the Association in Moscow.

The Association was registered in October 07, 2002 in Moscow.

At the meeting held in May 21 – 23, 2002 TSCI Council adopted TSCI Secretariat Regulations and Mr. Valery Ogarkov was appointed to be the Head of TSCI Secretariat.

At the present time several working groups organized during 1994 – 1998 continue their activities, namely Working Group on joint scientific researches and Quality Working Group.

The Regulations on TSCI observers and the Regulations on TSCI associated members were approved at the meeting of TSCI Council held in May 21 – 24, 2004 in Hanoi.

Bulgarian Register of Shipping and I.N.S.B. (Greece) terminated TSCI membership in 2005 due to commercial nature of their activities which didn't correspond with TSCI Statute.

TSCI Rules for river-sea going ships were introduced to the participants of TSCI Council meeting held in May 23 – 25, 2007 in Gdansk. The Council adopted TSCI Rules for the Classification and Construction of River-Sea Navigation Ships consisting of 2 volumes. They were published in 2007. At the same meeting TSCI Council adopted the Regulations for the Prevention of Pollution of Atmosphere from Ships and the Regulations for Surveys of Ships at Winter Anchorage.

In 2008 TSCI Meeting was held in Pyongyang in May 13 – 16. In particular, the meeting discussed an item on the development of TSCI Rules for the Classification and Construction of Inland Navigation Ships.

The existing Rules for the Classification and Construction of Inland Navigation Ships, edition 2008, of Russian River Register have been accepted as the basis of the draft TSCI Rules. In the project applicable provisions of Resolution No. 61 of UNECE Recommendations on Harmonized Europe-wide Technical Requirements for Inland Navigation Vessels, Directive No. 2006/87/EC of the European Parliament and of the Council of December 12th, 2006 and the European Agreement concerning the International Carriage of Dangerous Goods by Inland Waterways (ADN) were taken into account. In addition, the requirements of the Rules for the Classification and Construction of Inland Navigation Ships of Shipping Register of Ukraine, edition 2005, were considered.

The Rules were approved at TSCI Council meeting in Sopot, May 24 – 26, 2011. The Chairman of TSCI Council Mr. Erzy Wyrzykowski signed the master copy of the Rules on behalf of TSCI Council.

In 2010 TSCI Council has awarded the status of TSCI observer to the following classification organizations:

Public Institution Register of Shipping of Committee of Transport and Communication of the Ministry of Transport and Communications of Republic Kazakhstan;
State Institution Shipping Register of Republic of Moldova;
Republican Unitary Enterprise Belorussian River Register Inspectorate.

In 2011 TSCI observer status was granted to the classification organizations Isthmus Bureau of Shipping and Inter maritime Certification Services, Panama.

As international non-governmental organization, the Association obtained the observer status of the Danube Commission by Resolution of the 75th session of the Danube Commission dated December 15th, 2010.

In the end of 2014 the Polish Register of Shipping declared its voluntary withdrawal from TSCI membership. At the regular meeting of TSCI Council in Ho Chi Minh City (Viet Nam) 20 – 22 May 2015 it was decided to accept the withdrawal of Polish Register of Shipping.

Apart from that at the same meeting of TSCI Council the Kazakhstan Register of Shipping, Isthmus Bureau of Shipping (IBS) and Inter maritime Certification Services (ICS) became members of TSCI.

Mr. Evgeny Trunin, General Director of Russian River Register, was elected as Chairman of TSCI Council for the period since 22 May 2015 till the next regular meeting of TSCI Council.

In its letter dated 23 July 2015 the UN Economic and Social Council declared its decision to grant the Special Consultative Status to TSCI.

In 2016 the TSCI Council adopted by means of correspondence the changes and additions to TSCI Statute. The new edition of TSCI Statute is available at the website of TSCI as well as in hard copy.

At the meeting of TSCI Council, which took place in Saint Petersburg from 24 to 26 May 2016, it was decided to develop the TSCI Rules for Classification and Construction of Seagoing Vessels. A small working group chaired by Cuban Register of Shipping was formed for the above purpose.

The next plenary meeting of TSCI Council is scheduled for May 2017 in Russian Federation.

7. Recent and planned activities:

Recent TSCI activities:

2007: TSCI Rules for Classification and Construction of Combined (River-Sea) Navigation Ships;

2011: TSCI Rules for Classification and Construction of Inland Navigation Ships;

2015: update of TSCI Statute and internal procedures;

2016: development of the Rules for Classification and Construction of Inland Navigation Gas Carrier Ships and other normative documents.

Planned TSCI activities:

In accordance with the Plan of R&D works for 2016 – 2020 the Association is carrying out research and development of a wide range of scientific projects aimed at improvement of TSCI Rules including TSCI Rules for Classification and Construction of Seagoing Vessels.

Cooperation with UN ECOSOC bodies aimed at promotion of the purposes shared by UN and TSCI; encouraging of new classification and survey bodies to participate in TSCI activities.

8. Descriptive statement of the extent to which the purposes of the NGO relate to those of IMO, in particular what contribution the NGO can make to the work of IMO, including its technical co-operation programme:

The TSCI purposes specified in p. 5 of the present Questionnaire coincide substantially with those of IMO especially in the field of safety of life at sea. The TSCI Rules for Classification and Construction of Combined (River-Sea) Navigation Ships may be of interest for IMO because of their unique field of application. TSCI is capable to lend a contribution to statutory work of IMO by providing TSCI's regulatory documents which specify the navigation safety and other related conditions and participating in IMO meetings, in the activities of the joint groups of experts or in implementation of regional programmes.

9. Structure:

The highest managing body of TSCI is the TSCI Council consisting of one authorized representative from each TSCI member.

TSCI Council elects the Chairman of the Council from the members of TSCI Council for a two-year period.

The executive body of TSCI is TSCI Secretariat.

TSCI Council may establish working groups, commissions or other working bodies for addressing technical, organizational and other matters of TSCI activities. Currently there are two working groups: Working Group on Quality and R&D Working Group.

10. Membership (nature of membership, name of members and country where their main offices are based):

As of 2016 TSCI includes the following members:

Viet Nam Register (Socialist Republic of Viet Nam)
Kazakhstan Register of Shipping (Republic of Kazakhstan)
Korea Classification Society (Democratic People's Republic of Korea)
Cuban Register of Shipping (Republic of Cuba)
Intermaritime Certification Services (Republic of Panama)
Isthmus Bureau of Shipping (Republic of Panama)
Russian River Register (Russian Federation)
Slovensky Lloyd (Slovak Republic)
Shipping Register of Ukraine (Ukraine)

TSCI observers:

Belorussian Inspection of Register (Republic of Belarus)
Shipping Register of Moldova (Republic of Moldova)
Authority for Determination of the Seaworthiness (Republic of Serbia)

11. Officers:

Chairman of TSCI Council for 2015 – 2017 – Dr. Evgeny Trunin, General Director of Russian River Register.
Head of TSCI Secretariat – Mr. Valery Ogarkov
Chief Accountant of TSCI – Ms. Svetlana Zotkina
Secretary of TSCI Secretariat – Mr. Mikhail Kozin
Head of Quality Working Group – Mr. Pham Thanh Truong (Viet Nam Register)
Head of R&D Working Group – Dr. Pavel Bazhan (Russian River Register)

12. Indicate whether the NGO is a member of, affiliated to, or otherwise associated with another non-governmental international organization which enjoys consultative status or has other forms of association with IMO:

TSCI is not a member of, affiliated to, or otherwise associated with any other NGO which has such status or has other forms of association with IMO.

13. Relations with intergovernmental organizations:

TSCI has observer status at the Danube Commission and special consultative status in UN ECOSOC.

14. Indicate by what means IMO could participate in the NGO's activities:

A representative of IMO may attend the annual meetings of TSCI Council when discussing the issues related to navigation safety and prevention of environmental pollution. Apart from that IMO may submit its proposals for discussion at the above meetings.

15. Indicate by what means the NGO will promote and disseminate the principles and work of IMO:

TSCI supports the IMO purposes and expedites IMO instruments implementation. When performing the survey of ships the TSCI members authorized by the Flag States ensure compliance with requirements of IMO instruments.

16. Finance (source of funding and evidence of financial sustainability):

The source of TSCI funding is the membership fees from TSCI members.

17. List of publications and/or other relevant documentation:

TSCI Rules for Classification and Construction of Combined (River-Sea) Navigation Ships, 2007;
Survey of Ships at Winter Anchorage, 2007;

Regulations for the Prevention of Pollution of Atmosphere from Ships, 2007;
Rules for Prevention and Limitation of Oil Spill, 2008;
Recommendations for Harbour Craft and Roaders, 2008;

Requirements for Process Equipment of Industrial Ships, 2008;
«TSCI-OTHK» brochure, Moscow, 2009;;
Rules for Classification and Construction of Inland Navigation Ships, 2011
«TSCI-OTHK 1961-2011» brochure, Moscow, 2011;
Rules for Classification and Construction of Inland Navigation Ships, 2nd edition, 2013;
Rules for Classification and Construction of Inland Navigation Gas Carrier Ships, 2016;
Additional Requirements for Passenger Ships Fitted for Transportation of Persons with Reduced Mobility, 2016;
TSCI Guidelines for Renovation of Inland and Combined (River-Sea) Navigation Ships, 2016.

18. Additional information which the NGO may wish to provide:

TSCI Statute is attached to the Questionnaire.

ANNEX 5

INTERNATIONAL MARITIME ORGANIZATION (IMO)

QUESTIONNAIRE FOR NON-GOVERNMENTAL INTERNATIONAL ORGANIZATIONS (NGOs) APPLYING FOR CONSULTATIVE STATUS WITH IMO

In completing this questionnaire, the NGO should take into account the *Rules and Guidelines on Consultative Status for Non-governmental International Organizations with the International Maritime Organization*.

1. Name and acronym of the NGO:

Active Shipbuilding Experts' Federation (ASEF)

2. Address of headquarters:

Active Shipbuilding Experts' Federation (ASEF)
c/o Korea Offshore and Shipbuilding Association
308 Gangnam-daero Gangnam-Gu
Seoul, 06253
Republic of Korea

Telephone: +82-2-2112-8051

Fax: +82-2-2112-8182

Email: asef-secretariat@asef2015.com

Website: <https://www.asef2015.com>

3. Addresses of all branches and/or regional headquarters:

There are no branches or regional headquarters.

4. Name and contact details of a point of contact for the purposes of the application:

Mr Byeong-Cheol CHOI
Secretary General
Phone: +82-2-2112-8051, email: asef-secretariat@asef2015.com

5. Aims and purposes of the NGO (as set forth in its Constitution, Statutes or By-Laws; please provide an electronic copy separately):

ASEF's purpose (as set forth in its Charter) is:

ASEF, through technical communication and cooperation among shipbuilding industry, contributes to sound development of international maritime transportation and further enhancement of the world maritime safety, marine environment protection and maritime security.

ASEF's Function:

ASEF in its Charter provides the following functions which lead to smooth, sound and sustainable development of the shipbuilding industry:

- To hold the ASEF Forum;
- To exchange views and opinions among members on technical matters on shipbuilding including technical agenda in International Maritime Organization

- (referred to hereinafter as 'IMO') and International Organization for Standardization (referred to hereinafter as 'ISO');
- To develop relationship with other international organizations through promoting awareness to the relevant international organizations of issues handled by the shipbuilding industry; and
 - To contribute and offer opinions to external bodies including IMO and ISO on their technical agenda.

6. a. Length of time the NGO has been in existence:

In November 2007, the first annual ASEF Forum was held in order to exchange views among ASEF members, which are building more than 90 % of global share of new ship deliveries. Since then, ASEF members have been working together for delivering their technical views and the non-governmental international organization of ASEF was formally founded on 26 November 2015.

b. History of the NGO:

The shipbuilders' associations, which are currently ASEF members, started their activities on technical communication and cooperation at the first annual ASEF Forum in November 2007. ASEF Forum were annually (hosting country rotated among China, Japan and ROK and accepting participation of any parties engaged in maritime affairs) held in order to exchange technical views among maritime industries.

ASEF members have been working together for delivering their technical views and opinions to stakeholders in the maritime field, including IACS and international shipping industry organizations. This includes the following:

- ASEF has contributed to activities under the Tripartite Meeting, especially on Performance Standard for Protective coatings and Ship Construction File required by SOLAS/GBS.
- ASEF's technical comments on IACS's Common Structural Rules for Bulk Carriers and Oil tankers, and IACS's Unified Requirements for structural safety of Containerships have been submitted to IACS.
- ASEF have made many technical inputs to ISO Technical Committee 8 (Ships and marine technology) regarding the vibration on ships for habitability.

Based on their experience of information exchange on technical agenda, the non-governmental international organization of ASEF was formally founded on 26 November 2015.

In November 2016, a new member, Turkish Shipbuilders' Association, joined ASEF and ASEF's headquarters was moved from Tokyo, Japan to Seoul, ROK.

7. Recent and planned activities:

10th annual ASEF Forum :	8 November 2016 in Tokyo, Japan
3rd ASEF Council :	9 November 2016 in Tokyo, Japan
2nd ASEF Assembly :	9 November 2016 in Tokyo, Japan
1st ASEF Accredited Persons (Technical) (AP(T)) meeting :	2-3 March 2017 in Seoul, ROK

4th ASEF Council :	22 May 2017 in Seoul, ROK
2nd ASEF AP(T) meeting :	23 May 2017 in Seoul, ROK
11th annual ASEF Forum :	25 October 2017 in Busan, ROK
5th ASEF Council :	26 October 2017 in Busan, ROK
3rd ASEF Assembly :	26 October 2017 in Busan, ROK

8. Descriptive statement of the extent to which the purposes of the NGO relate to those of IMO, in particular what contribution the NGO can make to the work of IMO, including its technical cooperation programme:

ASEF is able to contribute to IMO by offering technical advisory information and shipbuilders' view in IMO's rule and regulation making process, especially, in the Maritime Safety Committee, the Maritime Environment Protection Committee and their Sub-Committees, making use of ASEF's rich technical expertise in building more than 90% of cargo ships such as oil tankers, bulk carriers, LNG carriers and container ships.

Currently, information and advice of shipbuilders building the above mentioned cargo ships are less likely to reach IMO meetings in a timely and effective manner, because the expertise of other Shipbuilders NGOs, i.e. Community of European Shipyards Associations (CESA) and Superyacht Builders Association (SYBAss), are mainly in building passenger ships, special ships and superyachts, respectively. ASEF is committed to complement and significantly enhance the information and advice which is currently available to IMO from the shipbuilding industry.

9. Structure:

The ASEF Assembly consists of all the members.

The ASEF Council is currently composed of three members, namely China Association of the National Shipbuilding Industry (CANSI), The Shipbuilders' Association of Japan (SAJ) and Korea Offshore & Shipbuilding Association (KOSHIPA). The number of Council members is being expanded to five in late 2018.

Technical Working Group (TWG) was set up by the ASEF Council and sub-groups are organised as needed. Currently, three sub-groups are ongoing for protective coatings, containership safety and ISO standard for vibration.

Accredited Persons (Technical) are appointed by the ASEF Council and working for delivering ASEF's technical views and opinions to other international maritime organizations under the instruction of the ASEF Council.

10. Membership (nature of membership, name of members and country where their main offices are based):

Member (shipyards' association or shipyard)	Country
China Association of the National Shipbuilding Industry (CANSI)	China
Shipyard Association of India (SAI)	India
Indonesia Shipbuilding and Offshore Industry Association (IPERINDO)	Indonesia

The Shipbuilders' Association of Japan (SAJ)	Japan
Korea Offshore & Shipbuilding Association (KOSHIPA)	ROK
Association of Marine Industries of Malaysia (AMIM)	Malaysia
Colombo Dockyard PLC (CDPLC)	Sri Lanka
Thai Shipbuilding and Repairing Association (TSBA)	Thailand
Turkish Shipbuilders' Association (GISBIR)	Turkey
Shipbuilding Industry Corporation (SBIC)	Viet Nam

11. Officers:

Chairman:	Mr Hwan-Goo KANG (KOSHIPA-HHI)
Vice-Chairmen:	Mr Minjun CHEN (CANSI) Mr Daisuke KIUCHI (SAJ)
Council members:	Mr Peng JIN (CANSI) Mr Dave (Hiroshi) IWAMOTO (SAJ-JMU) Mr Sa-Joon KANG (KOSHIPA)
Secretary General:	Mr Byeong-Cheol CHOI (KOSHIPA)
Accredited Person(Technical):	Mr Jiameng WU (CANSI-MARIC) Mr O KITAMURA (SAJ-MHI) Mr Jong-Kap LEE (KOSHIPA-KRISO)

12. Indicate whether the NGO is a member of, affiliated to, or otherwise associated with another non-governmental international organization which enjoys consultative status or has other forms of association with IMO:

ASEF or any member of ASEF is neither a member of, affiliated to, nor associated with another NGO which enjoys consultative status of IMO including CESA and SYBAss. ASEF does not have other forms of association with IMO.

However, ASEF has established good relationship with other international organizations, including:

- IMO invited ASEF to the steering group on the Future Ship Safety Symposium held in 2013.
- ASEF has been invited to join the IACS's annual Council-Industry meeting and IACS's Industry Technical meeting since 2011 as an international representative of major shipbuilders' associations.
- CESA (SEA Europe) has established a collaborative framework with ASEF since technical expertise is complementary to each other due to the difference in the type of ships built.
- ASEF has been recognized by ICS, INTERTANKO, INTERCARGO, BIMCO, OCIMF and NACE International as a representative of shipbuilders mainly building cargo ships to exchange views.

13. Relations with intergovernmental organizations:

ASEF has no relations with any intergovernmental organizations.

14. Indicate by what means IMO could participate in the NGO's activities:

ASEF would welcome IMO to send observers to the annual ASEF Forum, in which shipbuilding experts, including those of ASEF members, gather at a place and exchange views on technical agenda mainly in IMO.

15. Indicate by what means the NGO will promote and disseminate the principles and work of IMO:

ASEF would actively participate in IMO meetings and will provide technical information and advice including the projections of impact of IMO requirements (e.g. EEDI, minimum propulsion power and GBS), in particular, on the design and construction of cargo ships based on its rich experience as well as sufficient resources, for consideration at the meetings.

ASEF would share IMO activities among its members and IMO representatives will be most welcomed to participate in annual ASEF forums.

The specific issues ASEF has made contribution in the past and at present are listed in the second paragraph of 6.b. of this questionnaire.

ASEF is committed to continue to expand its contribution to all relevant agendas of IMO in the future.

16. Finance (source of funding and evidence of financial sustainability):

ASEF is funded through membership contributions.

The top three members in terms of average new building output of commercial ships over the last three years, i.e. CANSI, SAJ and KOSHIPA, cover almost all of membership contributions, and they have committed themselves to ensure the financial sustainability of ASEF.

17. List of publications and/or other relevant documentation:

Publication: ASEF Flyer, March 2016

Documentation: Development of a Special ISO Standard for "Vibration on Specific Ships" (ISO 21984) (PPT presentation material)

18. Additional information which the NGO may wish to provide:

ASEF prepared a presentation material on this application for consultative status as attached.

More information including a leaflet of ASEF's application and frequently asked questions (FAQs) and answers is available through NEWS RELEASE page of: <https://www.asef2015.com>

Supplementary explanation of ASEF's application and the FAQs & answers are attached to this questionnaire, too.

ANNEX 6

INTERNATIONAL MARITIME ORGANIZATION (IMO)

**QUESTIONNAIRE
FOR NON-GOVERNMENTAL INTERNATIONAL ORGANIZATIONS (NGOs)
APPLYING FOR CONSULTATIVE STATUS WITH IMO**

In completing this questionnaire, the NGO should take into account the *Rules and Guidelines on Consultative Status for Non-Governmental International Organizations with the International Maritime Organization*.

1. Name and acronym of the NGO:

The Pew Charitable Trusts, Pew

2. Address of headquarters:

One Commerce Square
2005 Market Street, Suite 2800
Philadelphia, PA 1903-7077

Telephone: +1 215.575.9050

Fax: N/A

Email: ewilson@pewtrusts.org

Website: <http://www.pewtrusts.org>

3. Addresses of all branches and/or regional headquarters:

901 E Street, NW, 10th Floor
Washington, DC 20004-20008
United States of America

The Grove
248A Marylebone Road
London NW1 6JZ
United Kingdom

Avenue des Arts/Kunstlaan 40
1000 Brussels
Belgium

Institut Océanographique/Maison des Océans
195, Rue Saint Jacques
Paris 75005
France

Level R+2, Maritime Station of the Ferry Dock
Papeete
French Polynesia

85, Route de l'Anse Vata
Résidence le Rougemont

98800 Noumea
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80 Colin Street
West Perth WA 6005
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1904 Third Avenue, Suite 305
Seattle, WA 98101
United States of America

111 SW Columbia Street, Suite 200
Portland, OR 97201
United States of America

185 Devonshire Street, Suite 701
Boston, MA 02111
United States of America

The Pew Charitable Trusts also maintains a network of consultants around the world, including in Argentina; Australia; Belgium; Canada; Chile; Colombia; Costa Rica; France; French Polynesia; Germany; Grenada; Hong Kong, China; Ireland; Japan; Mexico; Northern Mariana Islands; The Netherlands; New Caledonia; New Zealand; Palau; Portugal; Samoa; Senegal; Spain; Sri Lanka; St. Eustatius; Tunisia; United Kingdom; United States; and Venezuela.

4. Name and contact details of a point of contact for the purposes of the application:

Elizabeth Wilson
+1 202.540.6755
ewilson@pewtrusts.org

5. Aims and purposes of the NGO (as set forth in its Constitution, Statutes or By-Laws; please provide an electronic copy separately):

Pew is a global research and public policy organization, operated as a non-partisan, non-governmental organization dedicated to serving the public.

Informed by the founders' interest in research, practical knowledge and a robust democracy, Pew's portfolio has grown over time to include public opinion research; arts and culture; and environmental, health, state and consumer policy initiatives. Pew's mission is to:

- Improve public policy by conducting rigorous analysis, linking diverse interests to pursue common cause and insisting on tangible results;
- Inform the public by providing useful data that illuminate the issues and trends shaping the world; and
- Invigorate civic life by encouraging democratic participation and strong communities. In Pew's hometown of Philadelphia, we support arts and culture organizations as well as institutions that enhance the well-being of the region's neediest citizens.

6. a. Length of time the NGO has been in existence:

15 years – The Pew Charitable Trusts was established as a foundation in 1948, but has been operating as an independent non-profit organization, or public charity, since 2002.

b. History of the NGO:

The Pew Charitable Trusts, an independent non-profit, is the sole beneficiary of seven individual charitable funds established between 1948 and 1979 by two sons and two daughters of Sun Oil Company founder Joseph Newton Pew and his wife, Mary Anderson Pew.

Pew was initially a foundation but then in 2002, it became a public charity, giving it more flexibility to engage in new initiatives and operate programs for maximum effectiveness and efficiency. Expanding Pew's work internationally, with new partners and an emphasis on action, it created projects to strengthen environmental and energy policies; protect oceans and wild lands; improve health through investments in child nutrition; increase the safety of foods and drugs; provide consumers with better information about financial products; and help states invest in programs that provide the strongest returns.

Today, the Pew Charitable Trusts continues to be driven by the power of knowledge to solve the world's most challenging problems.

7. Recent and planned activities:

As a global research and public policy organization, Pew has worked with other non-governmental organizations, governments and international bodies on critical political, health and environmental issues for the past 15 years. Pew's international oceans work, the portion of Pew's work related to the IMO, includes focused projects to end overfishing, secure marine habitat protections, and ensure sound global ocean governance, monitoring and enforcement. Pew advocates for national, regional and international policies that will conserve marine habitats and ensure the long-term sustainability of fish stocks around the world.

Pew's marine efforts are focused on obtaining or developing the best available scientific information, using that information to build awareness and then securing sound policies at the national, regional and international levels. To do this, Pew regularly collaborates with top scientists, develops and implements communications plans, works with governments around the world and hosts workshops to help build support for and capacity around important marine conservation initiatives. Current campaigns and programs include:

- **End Illegal Fishing Project:** working to ensure a sustainable and secure future for our oceans by combating illegal, unreported, and unregulated (IUU) fishing around the world;
- **Pew Bertarelli Ocean Legacy:** working to establish a worldwide system of large, highly protected marine reserves;
- **Global Shark Conservation:** working to highlight the plight of sharks and to promote their conservation;
- **Global Tuna Conservation:** working to improve the international management of tuna species;
- **Protecting Life in the Arctic:** promoting science- and community-based conservation of Arctic waters with a particular focus on offshore oil and gas activities, commercial fishing and industrial shipping;
- **Protecting Ocean Life on the High Seas:** working to address the lack of an international legal instrument to establish marine protected areas on the high seas;
- **Global Penguin Conservation:** working to establish a network of large-scale marine reserves in the Southern Ocean;
- **Seabed Mining Project:** working internationally and, in particular, with the ISA to ensure that strong, science-based rules are adopted that balance well-regulated mining with the critically important task of protecting biodiversity in the deep ocean.

Pew also has a strong commitment to helping to achieve the United Nations Sustainable Development Goals (SDGs), with a focus on SDG14: Conserve and sustainably use the oceans, seas and marine resources for sustainable development. Pew actively engaged in the effort to include a stand-alone goal for the oceans and seas and continues to support SDG14's implementation. Pew recently participated in formal preparatory meetings for the UN Ocean Conference that will be held in June 2017 and is a member of three of the informal preparatory working groups (IPWGs) for the conference. Pew is also providing feedback on the conference's partnership dialogues through the formal process to ensure that important topics such as the use of IMO numbers to reduce illegal fishing get highlighted. Finally, Pew is working with governments from around the world on the "Call for Action" that will be issued from the conference and will be involved in hosting side events and a reception at the conference.

Of particular relevance to the IMO are Pew's projects on ending illegal fishing and protecting the Arctic.

Pew seeks to dramatically reduce illegal fishing around the world by:

- Urging fisheries managers and States that license vessels (flag States) to require that every commercial fishing vessel 20 meters (65 feet) or more in length, and all vessels that fish outside the exclusive economic zones (EEZs) of their flag States, obtain an [International Maritime Organization number](#) – a unique identifier that stays with each vessel from construction to scrapping. Fisheries managers and flag States should also mandate that vessels be fitted with an automatic tracking system. These measures would ensure that industrial fishing vessels would be treated like merchant ships, making it possible to easily identify, track, and locate them anywhere in the world;

- Improving information sharing, enforcement, and prosecution of fisheries crimes in countries with limited resources by facilitating better engagement of authorities, use of technology, training, and intelligence gathering;
- Cutting off port access for illegal fishers by pressing for the adoption and implementation of the [Port State Measures Agreement](#) in key countries and by regional fisheries management organizations (RFMOs);
- Strengthening controls in major market States such as the United States, the European Union, and Japan to keep illegally caught seafood off store shelves; and
- Working to ensure that illegal fishing is recognized as a criminal activity so that the full force of the law can be brought to bear against those engaging in it.

The purpose of Pew's work in the Arctic is to protect environmentally sensitive areas of the Bering Sea and Arctic Ocean from harm caused by industrial fishing, offshore oil and gas development, and shipping, and to promote science-based policies to guide environmentally responsible development of new industrial activities in Arctic waters. This project works in the United States, Canada and Greenland on topics relevant to the IMO such as reducing vessel impacts on sensitive habitat areas, developing low-impact shipping corridors, reducing marine pollution and improving safety. Key publications produced as part of this effort include:

- [The Integrated Arctic Corridors Framework](#) report, which proposes a comprehensive system of tiered shipping routes to benefit Canada, the shipping industry, and northern communities.
- "[Arctic Shipping: A Route to Russian-American Cooperation](#)," co-authored by a Pew staff member and a retired U.S. Coast Guard Vice Admiral and published by the Russian International Affairs Council in 2014, outlines the mutual interests and path forward for the United States and Russia to manage vessels and reduce risk in the shared waters of the Bering Strait. A similar article by the same authors appeared in the Arctic Herald in 2016 titled, "Bering Strait Shipping: Towards a Bilateral Approach".
- Pew staff co-authored "Vessels, risks, and rules: Planning for safe shipping in Bering Strait," a peer-review paper published in Marine Policy in 2016. It discusses the risks posed by increased commercial vessel traffic and suggests regulatory measures to help manage some of these risks. The research also contributed to the recently released (February 2017) Port Access Route Study for the Bering Strait produced by the U.S. Coast Guard. Following consultation, the final routing measures will be submitted to the IMO for formal adoption.

As part of this work, Pew, in coalition with other NGOs, has long called for and supported the environmental provisions which were incorporated into the IMO Polar Code. Pew looks forward to seeing the positive impact this will have now that it has come into force this year, and will continue to advocate that harmful discharge from ships should be restricted in sensitive Arctic waters. Pew will also advocate for vessel routing measures, improved safety communication systems, as well as emergency prevention and preparedness in case of accidents. Pew hopes to engage with the Marine Environment Protection Committee on these matters in the future.

8. Descriptive statement of the extent to which the purposes of the NGO relate to those of IMO, in particular what contribution the NGO can make to the work of IMO, including its technical co-operation programme:

Ending illegal fishing:

As set out in the 1948 Convention on the International Maritime Organization, one of its principle purposes is to enable "*cooperation among Governments in the field of governmental regulation and practices relating to technical matters of all kinds affecting **shipping engaged in international trade; to encourage and facilitate the general adoption of the highest practicable standards** in matters concerning the **maritime safety, efficiency of navigation and prevention and control of marine pollution from ships**" [bold added] (Article 1 (a)).*

The fishing industry and its fleet play an important role in international trade, and its activities have escalated rapidly since the 1948 Convention. This is reflected in the increasing focus which the IMO has given to fishing vessel and crew safety; for instance, the Torremolinos International Convention for the Safety of Fishing Vessels (SFV), 1977, superseded by the 1993 Torremolinos Protocol; Cape Town Agreement of 2012 on the Implementation of the Provisions of the 1993 Protocol relating to the Torremolinos International Convention for the Safety of Fishing Vessels, and the International Convention on Standards of Training, Certification and Watchkeeping for Fishing Vessel Personnel (STCW-F), 1995.

There is also an increasing recognition that illegal fishing is a global problem which requires inter-agency cooperation, which has resulted in three FAO/IMO Ad Hoc Working Groups on IUU fishing and related matters. Most pertinent to the IMO, fishing vessels operating illegally are less likely to observe guidance relating to other IMO conventions, protocols, codes and recommendations concerning maritime safety and security and the prevention of pollution – such as emissions, dumping, crew safety, fire and damage drills, energy efficiency and others.

Pew has been working to tackle illegal fishing on the high seas since 2009, prioritizing, in the early years, the development of the FAO Port State Measures Agreement and then obtaining the ratifications necessary to allow the treaty to enter into force. Pew's current and future work focuses on a "Global System of Enforcement" which brings together a suite of policy and technology measures that, when effectively applied, will help to close down illegal fishing and other associated illegal activities at sea such as piracy, drug-trafficking and armed robbery. Much of what Pew does relates to the identification and tracking of fishing vessels and the safety of those vessels on the high seas, as well as empowering countries with limited capacity to tackle illegal fishing in their own waters.

Protecting the Arctic:

Shipping rates in the Arctic continue to rise despite the fact that these waters remain relatively uncharted with large ships traveling to remote locations with limited infrastructure and challenging conditions that include the presence of sea ice. To help mitigate the risk of an accident, Pew has sought science- and technical-based solutions for minimizing vessel impacts on sensitive Arctic marine ecosystems and traditional practices of indigenous peoples. Pew engaged with the U.S. government supporting measures in the Polar Code to increase ship safety and environmental protection, and worked extensively with the U.S. Coast Guard to achieve a low-impact shipping corridor in the Bering Strait that includes a two-way route and Areas to Be Avoided based on the best available science.

Notable links to the work of the IMO include:

- In the interest of fishing vessel and crew safety, Pew advocates that all Member States of the IMO [ratify the 2012 Cape Town Agreement](#). Pew staff attended and presented our work at two IMO-organized sub-regional seminars on implementation of the Agreement – Belize in 2014 and Cote d'Ivoire in 2016. Over the next five years we intend to increase our work in this area.
- IMO numbers can also help improve crew safety at sea by enabling authorities to better track compliance of fishing vessels on the high seas. Pew advocates a worldwide system of mandatory IMO numbers for fishing vessels, and has worked with the major RFMOs and regional fisheries bodies to ensure that they mandate IMO numbers for all vessels which operate under their jurisdiction and that measures on this topic are implemented. Following the recent issuance of IMO Circular Letter 1886/Rev 6, we have shared this information directly with RFMO Secretariats, as well with retailers and suppliers, and on our [website](#).
- Over the next five years, Pew will work to ensure that RFMOs extend their IMO number mandates to all eligible vessels as set out by this Circular Letter. We will also work to ensure the largest flag and coastal States by fishing fleet size mandate IMO numbers for all eligible vessels, port and market States require IMO numbers as a condition of landing or importing seafood, and seafood buyers and retailers require that all eligible supply vessels have IMO numbers.
- Pew has recently developed a contract with [IHS Maritime \(IHSM\)](#) to ensure that they have the capacity to issue IMO numbers to smaller vessels as set out in IMO Number CL 1886/Rev 6. The contract also tasks IHSM to improve and further develop its existing 'non-core' fishing vessel database by expanding the amount of information that is captured (including ownership details), and supporting the development of data exchanges with external parties (such as RFMOs). This in turn will provide improved information to the FAO's Global Record and for patrol vessels at sea, port authorities, and agencies such as Interpol to close in on criminal activities.
- Pew sits on the FAO Global Record expert and general working groups and has long advocated (successfully) that the IMO number be one of the six key data fields. We also attended and contributed to the third joint FAO/IMO Ad Hoc Working Group on IUU fishing and related matters in 2015, which included a presentation of [Project Eyes on the Seas](#).
- Pew is committed to improving capacity for African States to help tackle the impacts of IUU fishing and associated maritime crimes highlighted in both the Yaoundé and Djibouti Codes. To that end we are partners in, and the primary funder of, [FISH-i Africa](#) which is a long-term, effective fisheries-enforcement system to combat illegal fishing in the Southwest Indian Ocean through improved information and intelligence sharing, enforcement and prosecution of fisheries crimes by FISH-i member nations. To facilitate further dialogue and knowledge transfer, we also sponsored the 2016 Chatham House event 'Ensuring Africa's Maritime Security for Development' ahead of the African Union Extraordinary Summit on Maritime Security.
- Furthermore, Pew has been working with [Trygg Mat Tracking](#) and IHSM to develop a factsheet and mechanisms to allocate blocks of IMO numbers to fishing vessels within the West Africa and Central Africa Sub-region, which will help tackle illegal fishing activities in the region. Such activities are often linked to piracy, armed robbery against ships and drug trafficking as acknowledged in the IMO-facilitated Yaoundé Code (Code of Conduct Concerning the Repression of Piracy, Armed Robbery Against Ships, and Illicit Maritime Activity in West and Central Africa).

- In December 2016 Pew was also asked to provide advice to the IMO on Maritime Security and Facilitation, on how to strengthen the measures relating to IUU fishing within the Djibouti Code of Conduct (Revised Code of Conduct Concerning the Repression of Piracy, Armed Robbery Against Ships, and Illicit Maritime Activity in the Western Indian Ocean and The Gulf of Aden Area). Pew hopes to assist with implementation of the Revised Djibouti Code of Conduct in the region.
- [Project Scale](#) is an initiative developed by Interpol, the Government of Norway, Pew and the United States Department of State, and is a global platform for combating illegal fishing and related criminal activity which facilitates it. With Interpol's global network of 190 member countries, Project Scale supports institutionalized cooperation between national agencies, including maritime and transport divisions, and international partners and helps vulnerable member countries to effectively address fisheries crimes within their EEZs. It also facilitates regional and international operations to suppress crime, disrupt criminal networks and identify and track the illicit proceeds, much of which is linked to other criminal activities at sea.
- Pew has worked with the United Kingdom's Satellite Applications Catapult to develop [Project Eyes on the Seas](#) – technology which analyses multiple sources of live satellite tracking data and links to information about a vessel's ownership history, licensing lists and country of registration. Using Synthetic Aperture Radar (SAR) images and optical satellite imagery it is also able to identify so called 'dark vessels' which have switched off their automatic identification system (AIS) or vessel monitoring system (VMS) systems to provide actionable intelligence for third parties. Project Eyes on the Seas is currently undertaking trials with a number of States (including the Maldives, Chile, Costa Rica, Thailand, and Seychelles) which would like to enhance their capacity to effectively monitor their fishing fleets. The aim is to provide the system at cost to 'developing' States to enable them to better police their waters. While currently focused on fishing vessels, the basic principles are applicable to the world's merchant fleet, for example, to monitor illegal dumping at sea.
- Over the next five years Pew will embark on an ambitious project to conduct the first flag State performance assessment specifically on the subject of IUU fishing. Using the IMO's already well-developed Member State Audit Scheme as a starting point for our methodology, we will be developing criteria based on the FAO's Voluntary Guidelines on Flag State Performance and other international instruments including the IMO International Convention on Standards of Training, Certification and Watchkeeping for Fishing Vessel Personnel (STCW-F), 1995 and the Cape Town Agreement.
- Pew supports work to develop communication protocols between commercial vessels and indigenous people to reduce conflicts on U.S. Arctic waterways and advocates for the development of an Arctic-wide vessel traffic system that includes enhanced communication capabilities. Additionally, Pew supports integration of indigenous peoples' participation at IMO meetings.
- Pew is working with consultants including retired U.S. Coast Guard officials to develop technical recommendations to further limit vessel discharge in Arctic waters and to advance the establishment of Areas to Be Avoided in the Bering Sea at the IMO.

9. Structure:

The Pew Charitable Trusts is governed by a board of directors.

Pew Board of Directors:

- Henry P. Becton, Jr.
- Robert H. Campbell
- Susan W. Catherwood
- Aristides W. Georgantas
- Mary Graham
- Christopher Jones
- James S. Pew
- J. Howard Pew II
- J.N. Pew IV, M.D.
- Mary Catharine Pew, M.D.
- R. Anderson Pew
- Sandy Ford Pew
- Rebecca W. Rimel
- Doris Pew Scott

It should be noted that the Pew Research Center is a subsidiary of The Pew Charitable Trusts. However, it is governed and directed by a separate board of directors and executive team.

10. Membership (nature of membership, name of members and country where their main offices are based):

The Pew Charitable Trusts is not a member organization and does not offer membership to any individual or group.

11. Officers:

- Thomas Dillon, Vice President, Environment-International
- Elizabeth Wilson, Director, International Ocean Policy
- Uta Bellion, Director, European Marine Programme
- Tony Long, Director, Ending Illegal Fishing
- Matt Rand, Director, Pew Bertarelli Ocean Legacy
- Amanda Nickson, Director, Global Tuna Conservation
- Andrew Kavanagh, Director, Global Penguin Conservation
- Luke Warwick, Project Director, Global Shark Conservation
- Andrew Clayton, Project Director, Ending Overfishing in Northwestern Europe
- Conn Nugent, Project Director, Seabed Mining
- Liz Karan, Senior Manager, Protecting Ocean Life on the High Seas

12. Indicate whether the NGO is a member of, affiliated to, or otherwise associated with another non-governmental international organization which enjoys consultative status or has other forms of association with IMO:

Member of:

- International Union for Conservation of Nature – Pew is one of more than 1,390 IUCN member organizations.

Pew is, to varying degrees, affiliated to/associated with Greenpeace International, International Fund for Animal Welfare (IFAW), and World Wide Fund for Nature (WWF), as part of the following arrangements. The scope of Pew's relationships with these organizations is limited to the objectives of each grouping, as noted below.

- The High Seas Alliance consists of 32 NGOs, including Pew, Greenpeace International, and WWF, as well as IUCN. In this context, the scope of Pew's relationship with these other organizations is limited to the strengthening of high seas governance with a particular focus on the development of a new implementing agreement under the United Nations Convention on the Law of the Sea (UNCLOS).
- The Deep Sea Conservation Coalition is made up of more than 70 NGOs, fishers' organizations and law and policy institutes. Pew, Greenpeace, and WWF are members of the Coalition's steering group; however, the scope of this relationship is limited to protecting vulnerable deep-sea ecosystems and conserving deep-sea species.

The Antarctic and Southern Ocean Coalition brings together environmental and conservation organizations in support of the creation of a network of marine protected areas (MPAs) in the Southern Ocean surrounding Antarctica. Pew, Greenpeace and IFAW are partner organizations within this Coalition, but this relationship is limited both in scope and geographic location (i.e. the creation of MPAs within the CCAMLR Convention Area).

13. Relations with intergovernmental organizations:

The Pew Charitable Trusts has a well-established history of constructive collaboration with and participation as an observer in a number of international organizations and conventions, including the Commission for Conservation of Antarctic Marine Living Resources (CCAMLR), Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES), Convention on the Conservation of Migratory Species of Wild Animals (CMS), FAO Committee on Fisheries (COFI), International Seabed Authority (ISA), and numerous regional fisheries management organizations.

Additionally, Pew has held consultative status with the United Nations Economic and Social Council since July 2010. As mentioned previously, Pew is actively engaged in discussions for a new legally binding instrument on biodiversity in areas beyond national jurisdiction under UNCLOS. Pew also engages in other UN meetings and processes including the United Nations Open-ended Informal Consultative Process on Oceans and the Law of the Sea, Informal Consultations on Oceans and the Law of the Sea (Oceans and Law of the Sea resolution), Informal Consultations on Sustainable Fisheries (Sustainable Fisheries resolution), and the resumed review conference for the UN Fish Stocks Agreement. Finally, Pew actively advocated for a stand-alone goal for the oceans and seas (SDG14) during the negotiations on the Sustainable Development Goals. We continue to support efforts to implement this goal and are working with organizers of the June 2017 UN Ocean Conference to ensure it raises the profile of SDG14 and leads to concrete commitments towards reaching the goal.

14. Indicate by what means IMO could participate in the NGO's activities:

Pew has a strong track record working alongside governments and intergovernmental organizations, providing robust, evidence-based solutions to help tackle some of the biggest global problems. We would welcome the chance to work more closely with the IMO on a number of activities including, but not limited to:

- Participating in a planned upcoming Pew-hosted event to be held on maritime safety and security at the Imperial War Museum;
- Inputting technical expertise, where appropriate, into educational materials on the Cape Town Agreement and the IMO number scheme as it relates to fishing vessels;
- Advising on how the methodology for the IMO Member State Audit was developed and how this could be used as a model for our flag State audit on IUU fishing responsibilities;
- Assisting with the block allocation of IMO numbers to flag and coastal States with the support of IHSM;
- Contributing to planned activities regarding implementation of the Revised Djibouti code, in collaboration with FISH-i Africa; and

Advising on the implementation of increased limits on vessel discharge in Arctic waters and establishment of Areas to be Avoided.

15. Indicate by what means the NGO will promote and disseminate the principles and work of IMO:

Pew has a strong track record working alongside governments and intergovernmental organizations, providing robust, evidence-based solutions to help tackle some of the biggest global problems. We would welcome the chance to work more closely with the IMO on a number of activities including, but not limited to:

- Participating in a planned upcoming Pew-hosted event to be held on maritime safety and security at the Imperial War Museum;
- Inputting technical expertise, where appropriate, into educational materials on the Cape Town Agreement and the IMO number scheme as it relates to fishing vessels;
- Advising on how the methodology for the IMO Member State Audit was developed and how this could be used as a model for our flag State audit on IUU fishing responsibilities;
- Assisting with the block allocation of IMO numbers to flag and coastal States with the support of IHSM;
- Contributing to planned activities regarding implementation of the Revised Djibouti code, in collaboration with FISH-i Africa; and

Advising on the implementation of increased limits on vessel discharge in Arctic waters and establishment of Areas to be Avoided.

16. Finance (source of funding and evidence of financial sustainability):

The following information was extracted from a document titled "*Consolidated Financial Statements and Report of Independent Certified Public Accountants*" for the fiscal years ending June 30, 2014 and June 30, 2015. This document may be found on the Pew website at <http://www.pewtrusts.org/en/about/accountability>. All amounts are in USD.

Assets	2015
Cash and cash equivalents	\$14,913,007
Accounts receivable	\$311,682
Prepaid expenses	\$3,891,002
Contributions receivable, net	\$34,966,876
Investments	\$554,096,468
Funds held for third parties	\$100,000
Deferred rent	\$635,067
Property and equipment, net	\$219,882,880
Deferred financing costs, net	\$1,398,669
Beneficial interest in supporting charitable trusts	\$5,332,486,391
Retirement plan assets	\$3,630,403
Total assets	\$6,166,312,445
Liabilities and net assets	
Liabilities	
Accounts payable and other accrued expenses	\$11,409,896
Deferred revenue	\$105,000
Accrued vacation expense	\$4,886,177
Grants payable, net	\$79,454,020
Funds held for third parties	\$100,000
Deferred rent	\$10,713,382
Accrued pension and postretirement expense	\$49,179,519
Bonds payable	\$170,055,000
Interest rate swaps	\$31,348,645
Total liabilities	\$357,251,639
Net Assets	
Unrestricted	\$381,470,544
Temporarily restricted	\$95,103,871
Permanently restricted	\$5,332,486,391
Total net assets	\$5,809,060,806
Total liabilities and net assets	\$6,166,312,445
Revenues	
Contributions	\$38,414,047
Contract revenue	\$546,324
Rental income	\$1,995,723
Returned grants	\$252,385
Other income	\$294,526
Investment gains, net	\$7,572,894
Unrealized foreign exchange loss	(\$166,606)
Distributions from supporting charitable trusts	\$263,610,162
Change in the fair value of the beneficial interest in trusts	(\$50,316,656)
Net assets released from restrictions	-
Total revenues	\$262,202,799

Operating Expenses	
Grants	\$89,885,530
Program	\$199,096,868
General and administration	\$15,011,712
Fundraising	\$6,546,972
Total operating expenses	\$310,541,082
Change in net assets from operating activities	(\$48,338,283)
Non-operating Expenses	
Fixed asset write-off	\$151,736
Bond interest expense	\$80,325
Swap interest expense	\$5,616,302
Change in fair value of interest rate swaps	\$3,022,560
Total non-operating expenses	\$8,870,923
Change in net asset	(\$57,209,206)
Net assets – beginning of year	\$5,866,270,012
Net assets – end of year	\$5,809,060,806

17. **List of publications and/or other relevant documentation:**

Illegal Fishing:

- [How to End Illegal Fishing](#)
- [Ending Illegal Fishing 2016 Efforts Build on Earlier Gains⁺ \[online article\]](#)
- [Illegal Fishing, Your Number's Up!](#)
- [Tracking Fishing Vessels Around the Globe](#)
- [Technology for Fisheries Monitoring and Surveillance](#)
- [Project Eyes on the Seas](#)
- [Satellite Applications Catapult – Ending Illegal Fishing, a Case Study](#)
- [Effective Surveillance in the Waters of the Pitcairn Island Marine Reserve](#)
- [Benefits of Becoming a Party to the Port State Measures Agreement](#)
- [Stopping Illegally Caught Fish at the Dock: How the Port State Measures Agreement will curb illegal fishing](#)
- [A Methodology for a Capacity Needs Assessment towards Implementation of the Port State Measures Agreement](#)

Arctic:

- [Arctic Vessel Traffic in the Bering Strait: Key Measures for Developing Regulatory Standards](#)
- [Vessels, risks, and rules: Planning for safe shipping in Bering Strait](#)
- [Listen to an Expert Discussion of Bering Strait Vessel Traffic^{*} \[online article\]](#)
- [The Integrated Arctic Corridors Framework + Graphics and Maps](#)
- [Arctic Shipping: A Route to Russian-American Collaboration](#)
- [Bering Strait Shipping: Towards a Bilateral Approach](#)

High Seas Governance:

- [Recommendations for the 69th Session of the United Nations General Assembly: Oceans and Law of the Sea Resolution](#)
- [Mapping Governance Gaps on the High Seas: Oceans and the Law of the Sea Resolution](#)^{*}
- [High Seas Conservation Is a Priority for Pacific Island Leaders](#)[^] [online article]
- [World Conservation Congress Motion 49: Vote Yes for High Seas Protections](#)^{*}
- [High Seas Environmental Impact Assessments](#)
- [Marine Protected Areas Beyond National Jurisdiction](#)⁺
- [Protecting 30 Percent of the Ocean Brings Multiple Benefits](#)⁺

⁺ Featured in the IMO Maritime Knowledge Centre Current Awareness Bulletin – [March 2016](#)

^{*} Featured in the IMO Maritime Knowledge Centre Current Awareness Bulletin – [August 2016](#)

[^] Featured in the IMO Maritime Knowledge Centre Current Awareness Bulletin – [November 2016](#)

18. Additional information which the NGO may wish to provide:

As outlined in this questionnaire, Pew has a significant focus on many issues relating to maritime safety, security and governance, and feels that through our expertise in these areas we can substantially contribute to the work of the IMO. We are, however, unable to reliably access the work of the IMO through any other organization; the IUCN have over 1,390 members, is prohibited from advocating on behalf of individual members in any forum, and do not include member organizations on its delegations. Therefore, despite being a member of the IUCN, it is not feasible for us to significantly contribute to the aims of the IMO through this relationship.

Many non-governmental organizations currently hold consultative status with the IMO; however, to Pew's knowledge, none are currently focused on increasing awareness of fishing vessel safety, identification and tracking or implementation of the revised Djibouti Code of Conduct. As part of Pew's work targeting illegal fishing on the high seas, the identification and tracking of fishing vessels operating on the high seas is a major objective. Pew has successfully advocated for IMO numbers to be made a mandatory requirement across eleven major RFMOs, and supported adoptions and implementation in multiple flag States and within the FAO's Global Record of Fishing Vessels, Refrigerated Transport Vessels and Supply Vessels.

IMO Instruments are vital to ensuring global impact of the policies surrounding maritime safety and security. For this reason, Pew hopes to obtain consultative status and work with the IMO on regional implementation of the revised Djibouti code, to increase the number of ratifications of the Cape Town Agreement and continue to improve proliferation of the IMO number globally – areas which cross over with the Maritime Safety, Maritime Security and Piracy and Human Element of the work of the IMO. Pew hopes to contribute to the discussions of these issues and others outlined in this questionnaire at the Sub-Committee on Human Element, Training and Watchkeeping, Sub-Committee on Ship Design and Construction, Maritime Safety Committee, Sub-Committee on Implementation of IMO Instruments, Marine Environment Protection Committee and the FAO/IMO ad-hoc Joint Working Group on IUU Fishing and Related Matters.

ANNEX 7

INTERNATIONAL MARITIME ORGANIZATION (IMO)

QUESTIONNAIRE FOR NON-GOVERNMENTAL INTERNATIONAL ORGANIZATIONS (NGOs) APPLYING FOR CONSULTATIVE STATUS WITH IMO

In completing this questionnaire, the NGO should take into account the *Rules and Guidelines on Consultative Status for Non-governmental International Organizations with the International Maritime Organization*.

1. Name and acronym of the NGO:

International Grain Trade Coalition (IGTC)

2. Address of headquarters:

Route des Esserts 8, 1279 Bogis-Bossey, Switzerland

Telephone: +41 78 932 96 18

Fax:

Email: secretariat@igtglobal.org

Website:
www.igtglobal.org

3. Addresses of all branches and/or regional headquarters:

4. Name and contact details of a point of contact for the purposes of the application:

Katy Lee
Secretariat, International Grain Trade Coalition (IGTC)
Route des Esserts 8, 1279 Bogis-Bossey, Switzerland
+41 78 932 96 18
secretariat@igtglobal.org

5. Aims and purposes of the NGO (as set forth in its Constitution, Statutes or By-Laws; please provide an electronic copy separately):

The International Grain Trade Coalition Association (IGTC), is a non-profit association governed by: its present statutes, secondly, by Articles 60 et seq. of the Swiss Civil Code and thirdly by its "Statement of Organization and Operating guidelines" as adopted on the 6th of April 2011 and updated on October 1, 2014 or thereafter. It is politically neutral, and non-denominational.

IGTC acts as a coalition of national and international non-profit trade associations and councils whose purpose is to convene significant expertise and representation to provide advice to governments from a global perspective on the commercial requirements and economics of the world's food, feed and processing industries. Corporate Stakeholders are integral to IGTC success and act in concert with IGTC members in all IGTC governance and activity.

The IGTC recognizes its existence is based on the goal of avoiding risks to global food security by minimizing disruptions in the international trade of grain, oilseeds, pulses and derived products. To do so the IGTC endeavours to provide for the establishment of policies to provide for a regulatory environment supportive of such international trade.

The Association's aims include:

- Convene significant expertise and representation to provide advice to governments from a global perspective;
- Develop and facilitate the free movement of grain, oilseeds, pulses and derived products with fair and reasonable regulations whilst serving farmers, growers, industry and consumers; and meeting the needs of the food, feed and processing industries;
- Increase recognition of the importance and value of its members' major contribution to world food security.

6. a. Length of time the NGO has been in existence:

The IGTC was established in 2001 by a group of exporters and importers wanting to increase the voice of the global grain trade at the international level. Its formal establishment under Swiss law took place on 6th of April 2011.

b. History of the NGO:

The IGTC was established in 2001 by a group of exporters and importers wanting to increase the voice of the global grain trade at the international level.

The concept was triggered by the adoption of the Cartagena Protocol on Biosafety to the Convention on Biological Diversity on 29 January 2000. The introduction of an international treaty governing the movements of living modified organisms (LMOs) resulting from modern biotechnology created significant concern within the international grain trade. When implemented, the Protocol would define the rules for most international shipments of corn, soybeans and canola that are intended for food, feed or processing by an importing country.

The recognition of the IGTC's important contribution to these international negotiations on shipping document led to further engagement of the Coalition at global level on wider issues related to the movement of grains, oilseeds and other agri-bulks.

Whilst the Cartagena Protocol and its provisions on rules for the shipments of grain was the catalyst for the formation of IGTC, today active IGTC files focus on addressing broader concerns that will have significant impact on the international movement of grain, oilseeds and other agri-bulks.

Today, the IGTC brings together 26 not-for-profit trade associations and councils supporting trade and investment around the world. These organizations assemble and communicate from a global perspective the commercial requirements and economics of the world's food, feed and processing industries.

In addition, over 8000 for-profit Corporate Stakeholders and several public sector Partners in more than 85 countries participate in and help guide IGTC as it supports the international trade of grains, oilseeds, pulses and other agribulks.

7. Recent and planned activities:

IGTC success is built on convening expertise to advise decisions from a global perspective on the commercial requirements and economics of the world's food, feed and processing industries. IGTC consensus-based advocacy places priority on safe products and international systems that enable competitive and compliant international trade and investment.

IGTC engages and informs its global network in key international decision-making venues including:

- UN Economic and Social Council (ECOSOC)
- UN Food and Agriculture Organization (FAO)
- UN Convention on Biological Diversity (CBD)
- UN International Plant Protection Convention (IPPC)
- World Trade Organization (WTO)
- World Bank
- CODEX Alimentarius
- International Grains Council (IGC)

IGTC 2016 headline achievements:

- 9 global Policy Teams and Working Groups to facilitate global conversations and solution building on issues of critical importance to the international movement of grains, oilseeds and other agri-bulks. Work continues to focus on a targeted set of priorities including international regulations on classification of chemical hazards and dangerous goods; fumigation and safe use of pesticides; and operational efficiency.
- Awareness raising of global issues among grain trade actors e.g. United National Sustainable Development Goals (SDGs) in international venues. Examples include presentations in Washington, D.C. in October 2016, and in New Delhi in February 2017 (presentations available upon request).
- 17 IGTC speaking spots on the international stage
- 14+ national and regional governments reached through IGTC members and Corporate Stakeholders
- 12 international partners engaged
- 3 in-person IGTC Strategy Sessions
- 2 in-person IGTC General Assemblies
- 2 new IGTC members: China Grain Business Association (CGBA), South African Animal Feed Manufacturers' Association (SACOTA)

IGTC member outreach in 2017

In 2017 the IGTC is conducting a global outreach programme with its members and Corporate Stakeholders in order to secure more geographical completeness and balance in participation than ever before. The unique value of the IGTC's programme is its commitment to face-to-face dialogue with grain trade leaders from around the world, visiting them in person, deepening relationships and seeking common priorities for the benefit of the global trade of grains, oilseeds and other agri-bulks.

With the goal of efficient, safe, and environmentally responsible movement of products also at its core, the International Maritime Organization Council is seen as a key partner to engage and we hope that mutual support can be garnered as the IGTC helps to create links and mobilize relevant officials to contribute towards in-country conversations around the world.

The first two visits have already taken place in India in February 2017, and in Buenos Aires in March 2017, when the IGTC visited its two Indian member associations: Solvent Extractors Association (SEA), and the Soybean Processors Association (SOPA); and its Argentine member – CIARA-CEC, respectively. Upcoming visits include work with the East African Grain Council (Nairobi, Kenya) from April 15-28, and visits to Australia, Brazil, China and South Africa are expected to take place before October 2017.

IGTC files, March 2017

1. Cooperation with the International Maritime Organization (IMO)
2. Plant production methods: Low level presence and plant breeding innovation, Cartagena Biosafety Protocol
3. Phytosanitary protection, including the IPPC's forthcoming ISPM on the movement of grain
4. Maximum Residue Limits
5. Electronic trading documentation, including bills of lading and ePhytos
6. World Bank – Enabling the business of agriculture

The above list of IGTC files demonstrates the targeted, focused agenda of the Coalition. IGTC members and Corporate Stakeholders, irrespective of whether they are exporting, importing or providing services to the international trade, currently find or soon will find their business operations, including compliance and risk management, strongly impacted by the outcome of IGTC efforts to address these files. Likewise, all files addressed by IGTC have an impact on the sustainability of entire value chain from producer to consumer.

New and additional IGTC files are constantly under consideration and may be brought forward by any Member or Corporate Stakeholder.

8. Descriptive statement of the extent to which the purposes of the NGO relate to those of IMO, in particular what contribution the NGO can make to the work of IMO, including its technical co-operation programme:

On 8 November, 2016, the IGTC's General Assembly in Geneva saw agreement on the critical need to engage with the IMO where appropriate and beneficial for both organisations. This included a call from the IGTC membership and Management Council to launch a request for Consultative Status with the IMO before the end of March 2017. The agreement at the IGTC General Assembly followed a 2016 IGTC consultation among its global participants to determine whether cooperation with the IMO would fit with the purposes of the Coalition.

Of specific importance for the IGTC, there is recognition of the IMO as the primary regulatory organization responsible for governing the Convention on the Safety of Life at Sea (SOLAS). This Convention and the regulations that it implicates have a direct

impact on trade operations as governments agree to implement them via national laws. These include international shipping regulations on issues such as classification of chemical hazards and dangerous goods; fumigation and safe use of pesticides in ships; and operational safety and efficiency.

Regarding the IMO's technical cooperation programme, the IGTC sees the Integrated Technical Cooperation Programme and its related efforts as important elements of work towards a responsible, efficient and sustainable marine trading environment. The very nature of the IGTC means that its global network is building capacity and sharing knowledge from the ground up, and many of its members are also working on issues around contracts, security, and environmental sustainability of the international movement of agri-bulks. Finally, the IGTC notes that it has a strong association presence in IMO countries, the London Protocol, for example, has Parties in key IGTC countries such as Canada, USA, Mexico, South Africa, China, as well as regional blocks including the EU.

Case study: Example of current IMO work programme: In 2017, the IMO's Correspondence Group on Evaluation of Properties of Bauxite and Revision of Individual Schedules for Seed Cake is continuing to consider amendments to the SOLAS Convention that could have a significant impact on the global governance of the safe loading, storage, and transportation of grains, oilseeds and their derived products. Discussions are likely to include the revision of existing individual schedules for seedcakes to harmonize with schedules in existing model UN regulations have included discussions on the applicability of the IMSBC Code and the Grain Code to the shipping of seedcakes and grain screening pellets. Varying levels of cohesiveness in shipments of seedcakes and grain screening pellets have created ambiguity as to whether seedcakes and grain screening pellets fall under the IMSBC Code or the Grain Code.

The IGTC notes that the work of the Correspondence Group, under the chairmanship of the Government of Japan, brings together experts from across the world. In 2017, the Terms of Reference for the work program of the Group will aim to:

1. Consider the research conducted by the Global Bauxite Working Group (GBWG), to be submitted by end of March 2017, and submitted to the Correspondence Group by end of April 2017;
2. Consider the adequacy of the current methods for determining the transportable moisture limit (TML) for bauxite and develop new and/or amended existing methods to be included in appendix 2 of the IMSBC Code;
3. Prepare a draft individual schedule for bauxite as Group A cargo and review the existing bauxite schedule;
4. Prepare individual MHB and non-hazardous schedules for seed cake and other residues of processed oily vegetables and other residues of processed oily vegetables (non-hazardous);
5. Prepare the draft amendments to the IMSBC Code for the classification of seed cake cargoes, based on annex 3 to document CCC 3/5/11;
6. Consider the possible amendments to individual schedules for SEED CAKE UN 1386(a), seed cake UN 1386(b) and seed cake UN 2217, and the consequential amendments to the IMDG and IMSBC Codes;
7. Consider the possible harmonization within the IMDG, IMSBC Codes and UN Model Regulations with regard to seed cake UN 1386 and seed cake UN 2217;
8. Submit a report to CCC 4. (*Note: this meeting is expected to take place in September 2017)

This is one example of how the IGTC could work with the IMO in order to provide significant industry expertise, welcoming the opportunity to contribute towards sound international decision making and ultimately, a sustainable marine and shipping environment.

9. Structure:

26 not for profit member associations and around 8000 Corporate Stakeholder participants in over 85 countries.

Secretariat.

Management Council of 10 members including President, Vice President, Treasurer. Membership of Management Council from four countries/regional blocks.

10. Membership (nature of membership, name of members and country where their main offices are based):

APPAMEX – Mexico

Durango 245-902, Col. Roma,
Delegación Cuauhtémoc, C.P. 06700, México

Canada Grains Council

220 Portage Avenue, Suite 1215
Winnipeg, Manitoba R3C 0A5 Canada

COCERAL – EU

Rue du Trone 98, 4th Floor
1050 Brussels, Belgium

Corn Refiners' Association – USA

1701 Pennsylvania Ave., NW, Suite 950
Washington, DC 20006

Grain and Feed Trade Association – UK/worldwide

9 Lincoln's Inn Fields
London WC2A 3BP

Grain Trade Australia

Level 7 12 O'Connell Street
Sydney NSW 2000

North American Export Grain Association (NAEGA)

1400 Crystal Dr #260, Arlington, VA 22202, DC

National Grain and Feed Association – USA

1400 Crystal Dr #260, Arlington, VA 22202, DC

US Grains Council

20 F Street NW, Suite 600
Washington, DC 20001

US Soybean Export Council

16305 Swingley Ridge Road, Suite 200
Chesterfield, MO 63017

US Wheat Associates

3103 10th Street, North Suite 300
Arlington, VA 22201

ABIOVE – Brazil

AV VEREADOR JOSÉ DINIZ, 3707 - 7º ANDAR - CJ 73
04603-004 - SÃO PAULO/SP - BRASIL

Australian Grain Exporters Association

PO Box 6156, Highton Vic 3216

ANEC – Brazil

Av. Brigadeiro Faria Lima, 1656
Sao Paulo

ANIAME – Mexico

Praga 39 Piso 3, Col. Juárez.
Delegación Cuahutémoc C.P. 06600

CAPECO – Paraguay

Entre Luis de Granada y Sgto. Gauto,
Avda. Brasilia 840, Asunción, Paraguay

CFNA – China

4/F., Talent International Building, No.80, Guangqumennei Street, Dongcheng
District, Beijing, China

CGBA – China

A15, Beiyuan Road, Chaoyang District, Beijing

CIARA-CEC – Argentina

Bouchard 454
Buenos Aires
C1106

CNAGS – China

A11, Guohong Building(C),Muxidi Beili.Xicheng District. Beijing P.C

Eastern Africa Grains Council

Westlands CI, Nairobi, Kenya

National Corn Growers' Association – USA

632 Cepi Drive Chesterfield, MO 63005

Russian Grain Union

107139, Moscow, Orlikov lane 1/11

SACOTA – South Africa

Agri-Hub Office Park, Block B, 477 Witherite Street, The Willows, 0081, Pretoria,
South Africa

PostNet Suite 221, Private Bag X04, Menlo Park, 0102, Pretoria, South Africa

Solvent Extractors' Association – India

225, 14Th Floor, 142, Jolly Maker Chambers 2, Nariman Point, Mumbai - 400021,
India

Soybean Processors Association of India

Scheme 53, Malviya Nagar, A.B. Road,
Indore - 452008

11. Officers:

President: Gary C. Martin, President and CEO of the North American Export Grain Association (NAEGA)

Vice President: Dr. Teresa Babuscio, Secretary General of COCERAL

Treasurer: Randy Gordon, President of the National Grain and Feed Association (NGFA)

12. Indicate whether the NGO is a member of, affiliated to, or otherwise associated with another non-governmental international organization which enjoys consultative status or has other forms of association with IMO:

N/A

13. Relations with intergovernmental organizations:

IGTC is consulted but does not have "consultative status" with the following organisations:

- UN Economic and Social Council (ECOSOC)
- UN Food and Agriculture Organization (FAO)
- UN Convention on Biological Diversity (CBD)
- UN International Plant Protection Convention (IPPC)
- World Trade Organization (WTO)
- CODEX Alimentarius

The IGTC has official observership with the International Grains Council (27 member governments)

14. Indicate by what means IMO could participate in the NGO's activities:

- Help inform IGTC leadership and strategic thinking on issues including technical cooperation, shipping regulations on issues such as classification of chemical hazards and dangerous goods; fumigation and safe use of pesticides in ships; and operational safety and efficiency
- Establish relationships in order to facilitate productive in-country conversations with IGTC members around the world about maritime safety, security and sustainability
- Provide experts at upcoming seminars and conferences

15. Indicate by what means the NGO will promote and disseminate the principles and work of IMO:

- Awareness raising of IMO work when appropriate and in accordance with applicable laws on privacy of information
- Consultation with the IMO's Correspondence Group on Evaluation of Properties of Bauxite and Revision of Individual Schedules for Seed Cake
- Consultation of IGTC global constituency on other relevant IMO processes on issues such as classification of chemical hazards and dangerous goods; fumigation and safe use of pesticides in ships; and operational safety and efficiency
- Activities reported in bi-weekly IGTC newsletter (primary circulation of 181 individuals)

16. Finance (source of funding and evidence of financial sustainability):

IGTC Business Plan provides for 2017 association member annual contributions of 7500 USD, and Corporate Stakeholder investments tiered at: 1. 2000 USD; 2. 10 000; USD 3. 30 000 USD.

17. List of publications and/or other relevant documentation:

Promotional flyer in English, Spanish, Chinese and Russian.

Business Plan in English and Chinese.

IGTC policy statements for global use of all 'Policy Teams'.

18. Additional information which the NGO may wish to provide:

IGTC senior leadership and global participants plan to be in London on the following dates and signal their availability to discuss this application and any related issues if appropriate:

- June 5th, 2017
- June 6th, 2017
- September 8th, 2017
- December 5th, 2017

ANNEX 8

INTERNATIONAL MARITIME ORGANIZATION (IMO)

**QUESTIONNAIRE
FOR NON-GOVERNMENTAL INTERNATIONAL ORGANIZATIONS (NGOs)
APPLYING FOR CONSULTATIVE STATUS WITH IMO**

In completing this questionnaire, the NGO should take into account the *Rules and Guidelines on Consultative Status for Non-Governmental International Organizations with the International Maritime Organization*.

1. Name and acronym of the NGO:

Stop Illegal Fishing - SIF

2. Address of headquarters:

Postal:
Stop Illegal Fishing Secretariat,
Postnet Kgale,
P.O. Box AD 45, ADD
Gaborone, Botswana

Physical:
Plot 647, Crocodile Pools,
Notwane, Botswana

Telephone: +267 3926298

Fax: +267 3926290

Email: pct@stopillegalfishing.com

Website: www.stopillegalfishing.com

3. Addresses of all branches and/or regional headquarters:

N/A

4. Name and contact details of a point of contact for the purposes of the application:

Mark Ssemakula – mark@stopillegalfishing.com

5. Aims and purposes of the NGO (as set forth in its Constitution, Statutes or By-Laws; please provide an electronic copy separately):

The primary purpose of SIF is to strengthen cooperation and coordination between governments and partners and to support the African Union's (AU) and the NEPAD Planning and Coordination Agency's (NPCA) agendas and other community, national, regional and international processes to stop illegal, unreported and unregulated (IUU) fishing in African waters.

The objectives of the Society are to:

- a) Provide evidence based advice to feed into policy reform and improved decision-making to fight IUU fishing in African waters.
 - This knowledge provided leads to more effective enforcement actions; more robust policy making at a national and international level; and provides a solid basis for undermining the organised crime groups who are at the heart of much of the illegal fishing.
 - The research and analysis done by SIF supports the need for a mandatory system of unique vessel identifiers such as IMO numbers
- b) Coordinate an African Voice to influence international fishery policy processes
 - In order to
- c) Facilitate communications and education to create awareness and advocacy for compliant fisheries.
 - Port States can deny port access and carry out inspections which are important in proving illegal activities; coastal States are important as they can verify documentation, and cross checking has proven to be vital in identifying illegal activities; and market States are important as denial of market access has been highlighted by SIF and others as a key measure in combating illegal fishing. SIF wishes to establish communication channels between these categories of state in order to increase the impact of efforts to end illegal fishing. This will require targeting of important actors in each category, including fishing itself as well as the offloading, transporting and sale of fish.
- d) Build, develop and assist with practical and effective cooperation tools, mechanisms and processes to curb IUU fishing;
- e) Provide capacity building to support the fight against IUU fishing.
 - Through our network of experts and consultants SIF provides training, inspection support, legal support and creates a link between government agencies and relevant partners.
- f) Facilitate improved information and intelligence exchange to improve the effectiveness and timeliness of states' responses to IUU fishing.
 - SIF's experiences have underlined the importance of regional information sharing. Sharing information on flagging, licences, and inspections enables the cross checking and verification of vessel information. By joining up the implementation of port State measures with flag and coastal State due diligence processes we aim to hold the illegal operators to account.
 - One of the first or most important steps is increasing the availability, accuracy and access to fishing vessel information. Without a mandatory vessel identifier, operators change the name and flag of a vessel, at any time, for any reason and simply fake or forge documents to match. SIF cooperates widely with the key actors in the field, to ensure the mechanism of, and lessons learned from FISH-i and other initiatives can be incorporated where appropriate to provide sustainable, workable and scalable solutions.
- g) Grow and support a network of professionals, experts and champions to lead the African campaign against IUU fishing.
 - SIF is committed to working with regional and continental partners such as SADC and the AU to facilitate the harmonisation of fisheries policies.

6. a. Length of time the NGO has been in existence:

SIF has been operating for 10 years, since its establishment in 2007.

b. History of the NGO:

In 2007 SIF was established as a network to combat illegal fishing for countries of southern Africa. By 2009 it had grown to become *the* network to combat illegal fishing for the AU's NPCA, and was funded by the UK's Department for International Development (DfID), as part of the Partnership for African Fisheries (PAF), a five year programme that ended in 2013. The positive impact of the network in Africa was recognised by many requests for it to continue beyond the life of the mother programme.

SIF registered as an independent not for profit organisation in 2012 and works together with governments, NGOs, academia, civil society, inter-governmental organizations and the fishing industry to stop illegal fishing. SIF is a powerful player in the fight against illegal fishing in Africa, with a strong network of support it is highly integrated into intergovernmental mechanisms across the continent. Both as a member of the AU's Monitoring, Control and Surveillance (MCS) Working Group and also as an International Technical Partner in the Southern African Development Community (SADC) IUU Task Force. SIF's work has been recognized by several organizations, and recently they were the winner of the prestigious Food and Agriculture Organization of the United Nations (UN FAO) 2014-2015 Margarita Lizárraga Medal for contributions to sustainable fisheries.

7. Recent and planned activities:

Illegal fishing is a complex issue with illegal operators who take advantage of weaknesses in the law, the lack of capacity to police national waters and poor governance. Finding solutions to these problems requires engagement and action at many levels. SIF is working nationally with governments and enforcement agencies, regionally through the FISH-i Africa and West Africa Task Force (WATF), internationally - influencing policy and informing the debate, as well as with industry and the public. Some of our initiatives include:

- **FISH-I AFRICA:** FISH-i Africa is a partnership of East African countries that cooperate to combat large-scale illegal fishing in the Western Indian Ocean through information-sharing and regional coordination. FISH-i Africa enables the sharing of real-time information and intelligence and coordinates actions against vessels suspected of operating illegally. Increased knowledge about the illegal operators, their methods and techniques means that enforcement capacity can be targeted more effectively. Countries are no longer acting alone and this has led to significant results as illegal vessels are identified, their activities are monitored and increased compliance is resulting. FISH-i Africa continues to expand its reach and improve the mechanisms and tools that are necessary to tackle the problem of systematically organised illegal fishing in the area which is all too often connected to elements of fisheries crime such as money laundering, tax evasion, labour and human rights abuses as well as smuggling activities.

Highlighted by two recent cases, piracy has once again re-surfaced threatening maritime security in and around Somali waters. It has been closely linked with illegal fishing, and SIF will work closely with Somalia through the FISH-i Task Force to combat illegal fishing in their waters.

- **WEST AFRICA TASK FORCE:** The WATF was formed in 2015 to provide a regional approach to fisheries enforcement. Hosted by the Fisheries Committee of the West Central Gulf of Guinea (FCWC) it brings together Benin, Côte d'Ivoire, Ghana, Liberia, Nigeria and Togo. The Task Force model was developed based on lesson learning from the FISH-i Africa Task Force. The WATF is coordinated by the FCWC Secretariat, Trygg Mat Tracking, SIF and Nordenfjeldske Development Services (NFDS). The Norwegian Development Agency (Norad) are funding a three year project to support this partnership called 'The Fisheries Intelligence and MCS support in West Africa'.
- **VISIBLE:** Vessel identity fraud is a key factor in many cases of illegal fishing and fisheries crime. By sharing identities vessels can and do get away with fishing without licences, catching fish illegally and operating out of sight of the law. Photographs of vessels showing unique identifiers are particularly important when establishing the identity of a vessel. SIF are working to make fishing vessels VISIBLE and have created a database of information on fishing vessels, focussing on those known to operate in the African region.
- **SIF INVESTIGATIVE UNIT:** SIF have created a team of fisheries specialists with legal, analytical and technical expertise. This team has been formalized in 2016 to become the SIF Investigative Unit with operational headquarters in Botswana.

Amongst other initiatives SIF wishes to investigate the trade routes utilised by illegal operators to gain market access. Mapping the ports used, the companies involved and the jurisdictions concerned may highlight areas for future work. Based on these findings, SIF hopes to engage relevant governments, industry players and organisations with the goal of address the identified links.

- **AFRICAN VOICE:** SIF works to strengthen the 'African Voice' in international fisheries fora by supporting African governments in formulating and promoting common positions in these negotiations. SIF have been active in a number of negotiations and fora.
- **FISHCRIME:** Illegal fishing often goes beyond non-compliance of fisheries laws; it is complex, serious, transnational and organised and is known as 'fisheries crime'. SIF organised the First International Symposium on FishCRIME in Cape Town, South Africa in October 2015. This was a joint initiative of the South African Department of Agriculture, Forestry and Fisheries (DAFF), SIF, PescaDOLUS and the Norwegian Ministry of Trade, Industry and Fisheries. FishCRIME works to raise awareness, inform policy and support effective interventions.
- **INDUSTRY CHARTER:** SIF are working with industry and retail players to identify gaps or areas for improvements in the supply chain and fishing practices that will limit the potential for illegal caught fish to be traded. The SIF Industry Charter has been developed in consultation with industry and retailers.

Additionally, by promoting legitimate industry and exposing the illegitimate industry, SIF hopes to make it unattractive and unprofitable to be associated at any level with illegal fishing and illegalities within fisheries.

8. Descriptive statement of the extent to which the purposes of the NGO relate to those of IMO, in particular what contribution the NGO can make to the work of IMO, including its technical co-operation programme:

A significant part of SIF's work involves the provision of expert assistance to governments and authorities in the fisheries sector. This can take the form of bespoke training courses, on the ground support to deal with complex investigations, the facilitation of interagency cooperation, and ongoing capacity building through regional task forces. This offers an opportunity for us to integrate more aspects of the IMO work into our training, especially in the areas of inter-agency cooperation and safety at sea. This also provides the IMO access to our expert consultation due to our knowledge of the region, particularly in relation to IUU fishing.

Since 2007 SIF has been working with African States and partners to develop a relevant, coherent and continent-wide voice in international fishery processes. Identifying policy opportunities and supporting the African Voice in international and inter-governmental processes is part of the SIF mandate and in this area we may be able to promote and integrate the work of IMO more fully into fisheries processes and policies. The evidence that we are generating provides the backbone to the argument for strengthening the integration of fisheries and maritime issues both to understand the issues and provide the solutions. SIF is well placed to garner greater participation from the fisheries administrations across Africa in the IMO processes both on the continent and internationally. Further, SIF is able to support representation to the IMO of large groups whose activities are important to the work of the IMO, e.g. the countries of the Western Indian Ocean and the FCWC countries, to express their collective view to the Organization.

Focussing effort on ensuring ratification and implementation of agreements and measures that can affect positive change for the fishery sector and for sustainability is a key part of the SIF focus. We have supported the ratification of the Port State Measures Agreement that came into force in 2016 with strong support from African States and are actively promoting the uptake of IMO numbers as unique vessel identifiers for fishing vessels.

SIF works on providing and distilling evidence and undertaking research into maritime challenges in the fisheries sector, by working together on these, or feeding our research and findings into IMO processes there is likely to be a strengthening of both our understanding of these challenges. One of the challenges facing African waters are that vessels employ illegal business practices including disregarding hygiene and safety standards and exploiting the limited requirements on crew, enabling use of forced labour. Our analysis has shown that operators use forced labour to reduce their costs, keep vessels at sea for longer and create a powerless workforce, unlikely to report transgressions. By using evidence to highlight these examples we aim to encourage the adoption of improved maritime safety in African waters.

SIF are committed to the values and objectives of the SDGs, in particular SDG14. We promote a compliant fisheries sector, sustainable use of natural resources and endeavour to ensure that developing countries are able to reap the full benefits of their fisheries and the blue economy.

FISH-i Africa, coordinated by SIF, is a pioneer initiative which with our support is now being replicated in West Africa. Task Force members share information on licensed vessels, port inspections and vessel movements and cooperate on investigations –

the results have been significant, with a range of illegalities quickly uncovered and acted upon. Results have included; arrests, settlements, payments of fines, a fraudulent licensing operation being closed-down and an increase in licence revenue. Through the Task Force, governments in East and West Africa will be able to exchange information on relevant matters, including those under consideration by the IMO. Our analysis also showed illegality that has been suspected in the FISH-i investigations but not proven, the cases demonstrate the involvement of arms, drugs and wildlife smuggling, human trafficking and escalating violence in the fisheries sector, all negatively affecting safety and security in African waters.

Although many of the coastal States we work with are increasingly aware of the issues faced, they do not all have the capacity to deal with them, this includes limited capacity to implement IMO's instruments. We hope to support the implementation of Integrated Technical Co-operation Programmes (ITCP) in the regions where we work. Of particular interest to our work is ensuring the correct implementation of the Torremolinos International Convention for the Safety of Fishing Vessels.

9. Structure:

The administration of SIF is the responsibility of the Executive Committee, comprising of eight elected voting members (a Chairperson; Vice-Chairpersons; a Secretary, Vice-Secretary, Treasurer; and Executive Committee members). NFDS Africa, serves as the SIF Secretariat.

10. Membership (nature of membership, name of members and country where their main offices are based):

SIF has two membership types; voting membership and affiliate membership. There are currently 21 voting members of SIF, of a possible maximum of 24 voting members (for a list of people please see attachment). These were selected or nominated for several reasons including historic engagement in SIF work and a desire to be an international NGO that is representative geographically and across organisations such as RFMOs/RFBs/governments etc.

Membership is open to any natural person with a recognized expertise in African fisheries or in any other area relevant to African fisheries and useful to advance SIF'S purpose and objectives.

The process for becoming a member is included in the constitution. SIF may have affiliate members who have no voting rights. Affiliate membership is open to bona fide natural persons or organisations that support SIF'S purpose and objectives.

SIF headquarters are based in Notwane, Botswana. We do however have consultants based all over Africa and the world who contribute to the activities of SIF where needed. the SIF Secretariat physical address:

11. Officers:

SIF Executive Committee for 2015 to 2017

- 1) Chairperson: Elsa da Gloria Patria
- 2) Vice-Chairperson: Dedi Seraphin
- 3) Vice-Chairperson: Markus Burgener
- 4) Secretary: Per Erik Bergh
- 5) Vice Secretary: Richard Ball

- 6) Treasurer: Sandy Davies
- 7) Executive Committee Member: Victor Kargbo

The SIF Secretariat

- 1) SIF Coordinator: Per Erik Bergh
- 2) SIF Deputy Coordinator: Mark Ssemakula
- 3) SIF Technical Coordinator: Sandy Davies
- 4) SIF Communications Officer: Sally Frankcom

12. Indicate whether the NGO is a member of, affiliated to, or otherwise associated with another non-governmental international organization which enjoys consultative status or has other forms of association with IMO:

N/A

13. Relations with intergovernmental organizations:

SIF is a member of the AU's MCS working group and an international technical partner in the SADC IUU Task Force.

Through the FISH-i Africa Task Force SIF has coordinates an informal intergovernmental network which comprises the eight East African countries – Comoros, Kenya, Madagascar, Mauritius, Mozambique, Seychelles, Somalia and Tanzania – that brings together national enforcement authorities, regional organisations such as the Indian Ocean Commission and Indian Ocean Tuna Commission, and international technical and legal experts to combat large-scale illegal fishing in the WIO through information-sharing and regional cooperation.

The WATF, founded in 2015, is based within the FCWC, a regional fisheries body which comprises Benin, Cote d'Ivoire, Ghana, Liberia, Nigeria and Togo. SIF and the FCWC have worked together in the past, and the FCWC Secretary General is a member of the SIF Executive Committee.

SIF is a registered FAO vendor and has worked with and for the FAO, for example we were active in the negotiation of the Port State Measures Agreement (PSMA) and supporting African countries to contribute to the dialogue, and later the ratification/accession of the PSMA. We are now active in capacity building for the implementation of the PSMA in a range of regions and countries through contracts with the FAO. Judith Swan, SIF Member and legal expert, authored the FAO publication 'The Implementation of Port State Measures', which provides generic legislative templates for the development of national legislation, as well as a framework for procedures and information on the role of RFMOs.

INTERPOL – SIF works closely with INTERPOL on cases and investigations and in particular through the work on FISH-i Africa and WATF.

14. Indicate by what means IMO could participate in the NGO's activities:

Mandatory IMO numbers for fishing vessels would help stop identity abuse. In cooperation and with input from IMO we could package our communications and outreach to target the needs of IMO to encourage engagement, awareness and uptake of IMO policies and measures in a practical way in the fisheries sector.

Participation in training and capacity building, especially when of an inter-agency nature, and providing support to through the Technical Co-operation Programme.

Participation as an ad hoc or permanent observer in the two Task Forces – FISH-i Africa and WATF and in the future Task Forces that SIF is working to develop,

We are building a better knowledge and understanding of the impact of IUU fishing and the issues surrounding it through assessing current knowledge, undertaking new research and analysing issues from an African perspective. The IMO could contribute to the development and publication of different types of briefs (e.g. policy briefs, lessons learned, general awareness promotion pamphlets), position papers, and case studies.

15. Indicate by what means the NGO will promote and disseminate the principles and work of IMO:

SIF has a large network of contacts, provides regular newsletters to over 1,000 people, has a website that is the go-to-place for information on illegal fishing and has an average of 2,000 page views a month. Further we have a large social media presence, with over 5,000 'likes' on Facebook and over 1,000 Twitter 'followers'. We recently produced articles on our website describing legislative amendments which made IMO numbers a mandatory requirement for the industrial fleet in Ghana and for all eligible national or state flagged fishing vessels in Nigeria. Both articles were shared widely amongst our network.

SIF develops evidence from our work throughout Africa in order to influence decision-making and change in fisheries policy. Our series of case studies provide practical lesson learning and advice to African and international policy makers. Our most recent publication 'Illegal Fishing? Evidence and Analysis' looked at the some of the investigations that the FISH-i Africa Task Force has collaborated on and at the wider experiences of crime and illegality in the Western Indian Ocean. Over 10% of the vessels fishing in the region do not have IMO numbers. In several of the cases analysed we found vessel identity issues which we believe mandatory IMO numbers will help to solve.

Through our ongoing projects and work and our input to meetings and foras. Through training and active investigations.

As part of the coordination team in both the FISH-i Africa Task Force and the West Africa Task Force SIF is well placed to support the agenda of IMO by encouraging Task Force members to adopt IMO measures. Including encouraging them to make IMO numbers a mandatory prerequisite for licensing. Task Force meetings are held regularly and Task Force members participate in various for a both nationally and internationally, providing opportunities to disseminate the principles and work of the IMO where relevant.

The Secretariat has significant experience working in the maritime sector primarily in Africa. We have provided services and expertise in sustainable fisheries management, combatting illegal fishing and fisheries crime, fisheries policy and legislation, regional cooperation for sustainable development, fisheries value chains, trade and consumption, climate change adaptation, environment and ecosystem approaches, capacity building and awareness and communication. Further, the SIF members and partners bring a wealth of expertise which can be drawn on when needed.

16. Finance (source of funding and evidence of financial sustainability):

A summary of our financial statements are attached.

17. List of publications and/or other relevant documentation:

All SIF publications are available on our [website](#).

18. Additional information which the NGO may wish to provide:

Illegal fishing is global, highly organised and well-financed. Although primarily focussed on African waters, distant water fishing nations from all over the world target the fish-rich African waters, and as such SIF's work has links with various flag, port and market States all over the world, making it truly international.

- We work to ensure that African-flagged fishing vessels operate according to the rules when fishing in foreign waters; an example of this are the IUU listed fishing vessels, the ALDABRA and CHANG BAI that were de-flagged by Tanzania at the request of CCAMLR and the Australian authorities. Further, FISH-i Africa Task Force members working with SIF committed to refuse requests to re-register these vessels in an effort to prevent further illegal fishing occurring. The previously Togo flagged ALDABRA was IUU listed in 2007 by CCAMLR for fishing without a fishing licence targeting toothfish. The ALDABRA had also been previously flagged to Panama and Honduras. The CHANG BAI was a well-known IUU vessel, blacklisted since 2003, and had employed the use of several flags of convenience including South Korea, Panama, Saint Vincent and the Grenadines and Uruguay.
- SIF supports the implementation of port State measures and works to improve inspection capacity, which forms the basis of monitoring and inspecting fishing vessels, especially foreign, in ports.
- The FishCRIME Symposium co-organised by SIF brought together different authorities, across sectors and countries, with support from international analytical and investigative experts to discuss 'fisheries crime'. It incorporated global links between illegal fishing and crimes such as tax evasion, human rights abuse including human trafficking, drug, wildlife, diamond and arms smuggling, fraud and pollution.

Our Executive Committee (<https://stopillegal fishing.com/all-executive-committee/>) and Voting Membership is comprised of people from all over the world.

Our work is African based but internationally relevant, and we believe we can make a valuable contribution to the work of the IMO and further the objectives of the IMO in our region and beyond.
