Global Record

HLR6 Review Mechanisms: Detailed Requirements

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FINNZ
Level 6
135 Victoria Street
Wellington
New Zealand

PO Box 24441
Manners St
Wellington

Ph 04 460 9500
Fax 04 460 9590

www.finnz.com

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Dan Martin

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Document Version History

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0.1	14 May 2010	Dan Martin	Initial draft
0.2	19 May 2010	Dan Martin	Updated after review in conjunction with HLR4 Central Source
0.3	10 June 2010	Dan Martin	Updates after review from Shaun Driscoll (FAO GR Project manager)

Document Information

This document is stored in: Global Record - DR6 Review Mechanisms.doc

1 Introduction

1.1 Document purpose

The purpose of this detailed requirements document is to further define the expectations of the GR as initially detailed in the high level requirement for Review Mechanisms. The detailed requirements identify the functionality that is required to support this HLR.

The Review Mechanisms that are to be put in place will ensure the integrity of the data in the GR is maintainable and able to be received from as broad a range of sources as possible. Maintaining data integrity will be a key focus of the initial phase of the GR development and will require support from manual processes. Such processes will also help to piece together incomplete information sets that may be received, e.g. where fishing activity data has been received without an IMO number for a vessel which may exist within the GR.

Initial reviews of readily available data from some RFMOs indicate that such processes may be required. If steps can be taken by these data providers to ensure vessel identifiers such as an IMO number is always recorded and provided to the GR, then this might mitigate the extent to which such manual intervention is required.

1.2 Intended audience

The audience for this document includes:

- *FAO*
- *Global record stakeholders*

1.3 Background

The need for a Comprehensive Global Record of Fishing Vessels was acknowledged as far back as 2002 in the implementation guidelines for the International Plan of Action to Prevent Deter and Eliminate Illegal, Unreported and Unregulated Fishing (IPOA-IUU) where it was acknowledged that the lack of such a tool produced a situation that undoubtedly creates opportunities for IUU vessels to escape detection. Subsequently, in the Rome Declaration on IUU Fishing, ministers called for the development of a comprehensive global record of fishing vessels within FAO, including refrigerated transport vessels and supply vessels. Following this, Proposal 2 of the Final Report "Closing the Net" produced by the High Seas Task Force (HSTF) promotes the establishment of a global information system on high seas fishing vessels. The purpose of this system is to combat the lack of access to transparent and authoritative information about the ownership, control and movements of fishing vessels. Provision of this information to Fisheries Management Organisations, Port States, Fisheries Enforcement and MCS authorities and other interested parties will enable actions to be undertaken to restrict and expose Illegal, Unregulated and Unreported (IUU) fishing activity.

It is widely recognized that one of the significant barriers to eliminating IUU fishing is a lack of transparency and traceability in the global fishing sector. States implement individual measures without the benefit of any sort of global information picture and there is no single source where useful and relevant information can be collated, stored and displayed. One of the major enablers of IUU fishing is the lack of information about the global fishing fleet or the wide range of information associated with vessel activity. To make matters worse, fishing vessels frequently change flag, ownership, registration, and fishing authorizations, enabling them to act with impunity if they choose.

The Global Record, which is being planned as an integrated global data base, offers a solution as it is intended to fill this information void. It will make available the essential information to enhance the effectiveness of regional and national monitoring, control and surveillance (MCS) tools and in particular, to support vessel inspection and surveillance programs, investigations, traceability initiatives and resource prioritization decisions, through the effective sharing of information–something that is not currently possible. The development of a GR would improve transparency and traceability of vessels, products, owners, operators, flags, authorisations and registration. It would facilitate risk assessment for industry, RFMOs and

Governments and improve decision making including on fleet capacity, size and structure, management, safety, pollution, security and statistics and more.

The importance of the GR is underscored by new and growing market demands for ecolabels and other forms of product certification which require product traceability. Market forces and incentives could stimulate compliance by countries to provide information to the GR prior to any mandatory legal requirement being imposed.

The GR would support existing binding and non binding instruments to prevent, deter and eliminate IUU fishing and increase the effectiveness of port state measures and MCS activities.

This document seeks to define at a high level the requirements of the GR that will allow it to meet these goals.

1.4   Definitions and Acronyms

FAO	The Food and Agriculture Organisation of the United Nations
GR	Global Record
UVI	Unique Vessel Identifier
MCS	Monitoring Control and Surveillance
RFMO	Regional Fisheries Management Organisation
UNGA	United Nations General Assembly
FAO	Food and Agriculture Organisation of the UN
NGO	Non-governmental organisation
COFI	Committee on Fisheries
UN	United Nations
FishVIS	High Seas Fishing Vessel Information System
FINNZ	FishServe Innovations New Zealand Limited
HSTF	High Seas Task Force
MU	High Seas Fishing Vessel Information System Management Unit
TU	High Seas Fishing Vessel Information System Technical Unit
IUU	Illegal, Unregulated and Unreported Fishing Activity
IHS Fairplay	IHS Fairplay
CFR	Community Fleet Register
EMSA	European Maritime Safety Agency

2 HLR6: Review Mechanisms

2.1 Detailed Requirements

Requirement No.:	6.1.0 Data Reconciliation
Requirement:	The system will provide a function enabling duplicate vessels and any associated activity/authorisation data to be reconciled. The system will identify these records and allow a manual check to determine the correct course of action. One of the expected courses of action will be to enable the activity, authorisation, PSM or IUU data to be link another vessel record i.e. the record received from the UVI supplier(s)
Rationale:	Activity, authority, PSM and IUU data will come from many different sources and in some cases may not contain the full level of vessel identification data e.g. (GR UVI number) or may contain a UVI number but be received before the GR has received an associated Vessel record. When no UVI is recorded and the GR has created a Vessel record (See Activity requirements) to enable the search functions, the GR must check if any new Vessel datasets contain a vessel that may be the same as that already created from a non-vessel dataset. If an existing vessel record is identified then the system is to provide a manual function that will update the vessel record with the complete record and assign any existing activity, authorisation, PSM or IUU records with the updated vessel record E.g. A PSM record contains a vessel without a UVI - The GR has created a vessel record and links the PSM record with this vessel record - A vessel dataset is received and contains the complete vessel record - A GR management user determines that these are the same vessel so the GR assigns the existing PSM record (and any others that may exist) to the completed vessel record which contains a UVI
Business Value:	2

Business Rules:	• Potential instances of vessel duplication will be identified by comparing such vessel details as:
	o Vessel Name
	o Issuing Organisation Vessel Identifier
	o International Radio Call Sign
	o MMSI Number
	o Vessel Registration Number
	o Where Built
	o Year Built
	o Ship Builder
	o Length
	o Beam
	o Gross Registered Tonnage
	• The system will perform partial matches on the Vessel Name field, whilst all other fields must be an exact match to be considered a matching field.
	• A match must occur on more than one matching field for it to be considered a potential duplicate vessel.
	• A Manual acceptance process is required which will ensure all other non-vessel records are linked correctly
Related Req's:	
Assumptions:	• Activity and/or authorisation records uploaded to the GR will create a new vessel record with the vessel data provided if:
	o The accompanying vessel UVI number does not match upon an existing GR vessel's UVI number.
	o No vessel UVI number is provided.

Requirement No.:	6.2.0 Identify contributing organisations
Requirement:	The GR is to identify all those known contributing organisations that have provided data to the GR within the last x period (where x is still to be confirmed).
	The GR will identify what data these contributors have provided
Rationale:	Such a function allows the GR management unit to determine which organisations are not providing the data expected of them.
Business Value:	2
Business Rules:	• Contributing organisations and the types of data they provide must be captured within the GR.
	• All data, including that which comes through intermediary sources (such as the PSM) will be tagged with the original data provider.
Related Req's:	
Assumptions:	

Requirement No.:	6.3.0 Information disputes
Requirement:	The GR is to provide the ability for users to query the data captured within the GR. The function will allow a user to identify the field or information in question, provide the correct data and give an explanation as to why the data is incorrect.
Rationale:	The GR simply holds are displays data. As the information is sourced from other providers, questions regarding it's correctness are to be sent to the provider
Business Value:	3
Business Rules:	• Where no contact information is available for the source, the GR management unit will be notified. The GR management unit will then pass this information on to the correct provider
Related Req's:	
Assumptions:	• Data providers have an email address that can be used for this purpose. • Any specific information that a data provider may also require is held in the GR or can be set within the email (e.g. a code for data queries). • Where possible, these disputes are to be forwarded directly to the data provider.