



Global Record

HLR8 Owner/Operators: Detailed Requirements

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Version 0.3

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Document Version History

Version No.	Date	Author	Summary of changes
0.1	5 May 2010	Dan Martin	Initial draft
0.2	2 June 2010	Jamie Cameron	Updates made based on Shaun Driscoll's feedback
0.3	20 June 2010	Jamie Cameron	Further updates made based on feedback.

Document Information

This document is stored in: [Global Record - DR6 Owner Operators.docx](#)

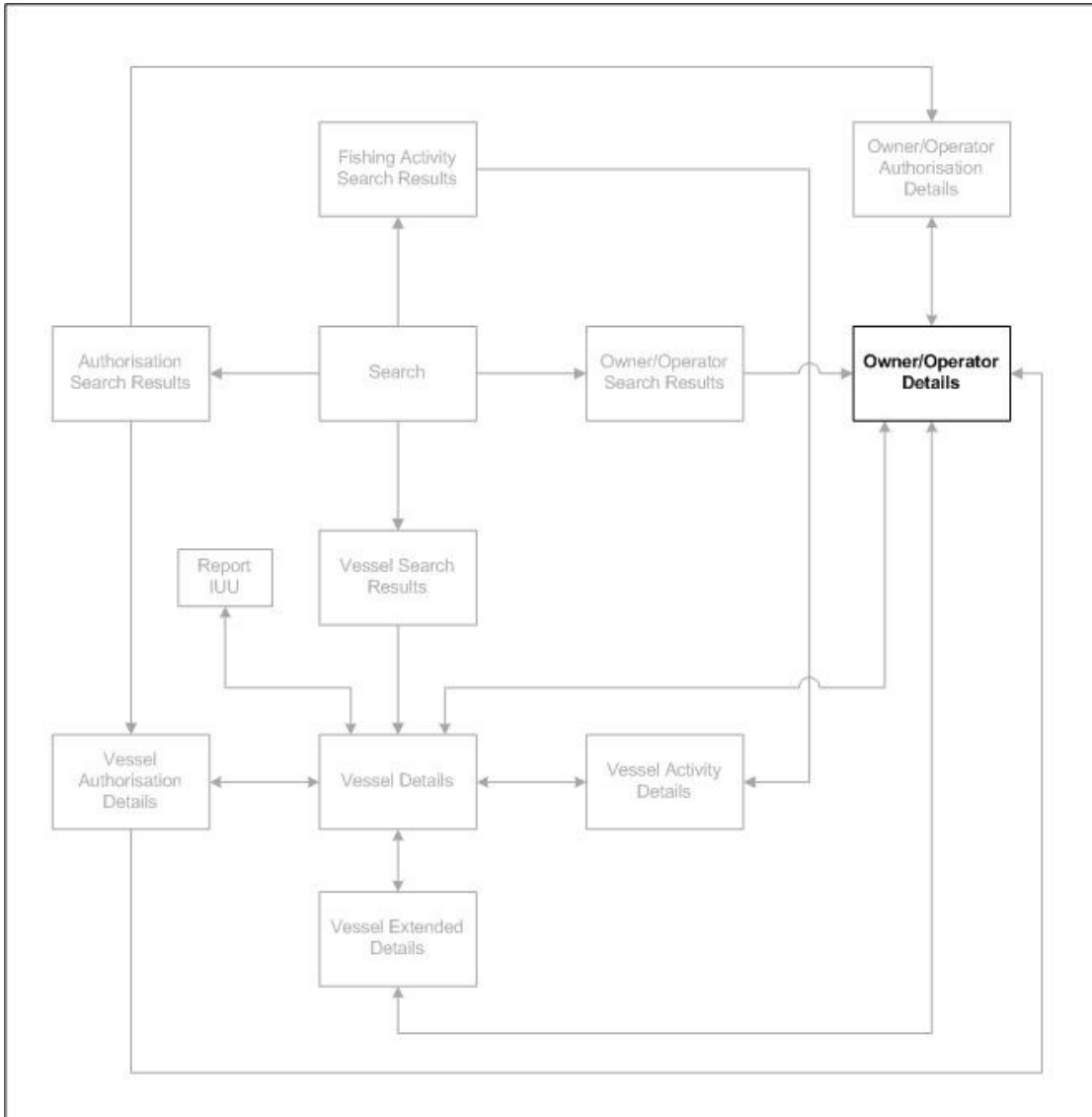
Introduction

1.1 Document purpose

The purpose of this detailed requirements document is to further define the expectations of the GR in respect to the high level requirement for Owner/Operators. The detailed requirements identified identify the functionality that is required to support this HLR and a clear indication of what must be developed as part of the GR.

This detailed requirements document also outlines a number of suggested business processes to aid the understanding of the requirement and to improve the overall design of this area.

The following diagram illustrates which components of the GR are covered within this document:



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 eco-labels 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 HLR8: Owner/Operators

2.1 Detailed Requirements

Requirement No.:	8.1.0 Capture Owner/Operator Data
Requirement:	<p>The system will enable the following owner/operator details to be captured:</p> <ul style="list-style-type: none"> • Individual/Company (Boolean) • Owner/Company Full Name (Varchar) • Owner/Company Short Name (Varchar) • IMO Number (Varchar) • IMO DOC Company (Varchar) • Company GR UVI (Varchar) • Address (Varchar) • Country * (Varchar) • Website (Varchar) • Email (Varchar) • Phone (Varchar) • Fax (Varchar) • Date of Company Registration (Datetime) • Country of Company Registration (Datetime) • Previous Company Name(s) (Varchar) • List of Vessels Owned/Operated (Varchar)
Rationale:	Capturing owner/operator information enhances the quality of data within the GR by enabling links between owners, vessels and fishing activities.
Business Value:	1
Business Rules:	<ul style="list-style-type: none"> • * Indicates fields' values may be derived from any associated FAO-classification standards, i.e. flags are stored according to the ISO 3 letter convention • All * fields will be translated during the data upload process to ensure consistency e.g. all flags and countries will be changed to their ISO 3 letter country code-equivalents. • One to many Vessel Communication Details value sets may exist per vessel. • List of Vessels Owned/Operated will be a free-text field and subsequently not linked to any existing vessels stored within the GR.
Related Req's:	
Assumptions:	<ul style="list-style-type: none"> • Vessels within the List of Vessels Owner/Operated field may be neither commercial fishing vessels nor possess an IMO number but capturing them nevertheless enriches the quality of information stored within the GR.
Revisions:	<ul style="list-style-type: none"> • Added List of Vessels Owned/Operated field and associated assumption.

Requirement No.:	8.2.0 Update Owner/Operator Details
Requirement:	Any of the aforementioned owner/operator detail fields may be updated via an upload file containing a matching record.
Rationale:	Owner/operator details are subject to regular change and it is therefore necessary to be able to reflect these within the GR.
Business Value:	2
Business Rules:	<ul style="list-style-type: none"> • Any subsequently-updated data will be stored in its previous state within audit tables, alongside: <ul style="list-style-type: none"> ○ User ID of the user responsible for uploading the import file ○ The File ID of the import file ○ Date 'From' and 'To' period between which the value was current • Owner/operator details will only be updated where: <ul style="list-style-type: none"> ○ A matching record within the GR exists based on an owner/operator's IMO Number. ○ A value within the updating record differs from the current value (including NULL records where a non-NULL value currently exists).
Related Req's:	3.1.1,6.1.0
Assumptions:	<ul style="list-style-type: none"> • Retrospective data, i.e. historical values pre-dating the GR's go-live point, will not be stored within the GR. • All IHS-sourced owner/operators will have an accompanying IMO Number as a unique identifier.
Revisions:	

Requirement No.:	8.3.0 View Owner/Operator Details
Requirement:	<p>Authorised users are able to view the following data stored against a particular owner/operator within the GR</p> <ul style="list-style-type: none"> • Individual/Company • Owner/Company Full Name • Owner/Company Short Name • IMO Number • IMO DOC Company • Address • Country • Website • Email • Phone • Fax • Date of Company Registration • Country of Company Registration • Previous Company Name(s) • <i>Vessel Summary Information</i> <ul style="list-style-type: none"> ○ IMO DOC Number ○ Vessel Name ○ Vessel Status ○ Port of Registry ○ Parent Company Registered Owner ○ Group Beneficial Owner ○ Group Operated Fleet ○ Registered Owner's Parent Company Name • <i>Authorisation Summary Information</i> <ul style="list-style-type: none"> ○ RFMO Authorisation ID ○ Authorisation Type ○ Authorisation Issue Period ○ Authorisation Cancel Date ○ Authorisation Status ○ Issuing Organisation ○ Target Species
Rationale:	Capturing owner/operator information enhances the quality of data within the GR by enabling links between owners, vessels and fishing activities.
Business Value:	1

Business Rules:	<ul style="list-style-type: none"> • Vessels whose Gross Tonnage exceeds 100 will be sourced solely from HIS-Fairplay. • One to many Vessel Flag Information value sets may exist per vessel. • One to many Vessel Communication Details value sets may exist per vessel. • Vessel Summary Information will include summary details of all vessels in which the owner/operator in question is the vessel's Registered Owner. • Where it is viable (i.e. captured within the GR) to link to an external website containing an authorisation instance's RFMO-held details the RFMO Authorisation ID field will be hypertext. • From the owner/operator details page the user is able to navigate to: <ul style="list-style-type: none"> ○ Vessel Details ○ Owner/Operator Authorisation Details
Related Req's:	
Assumptions:	
Revisions:	

Requirement No.:	8.4.0 View Owner/Operator History																								
Requirement:	An authorised user must be able to view the history of all the owner/operator fields within requirement 8.1.0.																								
Rationale:	Owner/operator data is subject to change over time and subsequently requires tracking.																								
Business Value:	1																								
Business Rules:	<ul style="list-style-type: none"> • Only those fields for which a historical value exists will display within the history grid, e.g.: <table border="1" data-bbox="475 1149 1324 1384"> <thead> <tr> <th>File ID</th> <th>Valid From</th> <th>Valid To</th> <th>Owner/Operator</th> <th>Email</th> <th>...</th> </tr> </thead> <tbody> <tr> <td>101554</td> <td>5/03/2008</td> <td>6/05/2010</td> <td>Sealord</td> <td></td> <td></td> </tr> <tr> <td>305662</td> <td>8/05/2001</td> <td>5/03/2008</td> <td>Sealord Group</td> <td></td> <td></td> </tr> <tr> <td>882736</td> <td>6/08/2005</td> <td>15/12/2009</td> <td></td> <td>j@sea.com</td> <td></td> </tr> </tbody> </table> • From this page the user may navigate to: <ul style="list-style-type: none"> ○ Owner/Operator Details 	File ID	Valid From	Valid To	Owner/Operator	Email	...	101554	5/03/2008	6/05/2010	Sealord			305662	8/05/2001	5/03/2008	Sealord Group			882736	6/08/2005	15/12/2009		j@sea.com	
File ID	Valid From	Valid To	Owner/Operator	Email	...																				
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305662	8/05/2001	5/03/2008	Sealord Group																						
882736	6/08/2005	15/12/2009		j@sea.com																					
Related Req's:																									
Assumptions:	<ul style="list-style-type: none"> • The GR will only be capturing an owner/operator's details as at go-live which means the owner/operator history grid will only be populated with values that have been updated via the GR's bulk upload facility. 																								
Revisions:																									