Global Record

HLR7 Reporting: Detailed Requirements

11 June 2010

Version 0.3

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Document Version History

Version No.	Date	Author	Summary of changes
0.1	6 May 2010	Dan Martin	Initial draft
0.2	13 May 2010	Dan Martin	Converted to doc format, updated to bring into line with other updated requirements
0.3	2 June 2010	Dan Martin	Updates after comments from Shaun (FAO Project manager)

Document Information

This document is stored in: \\Filer01\finnz\FINNZ_Public\Global_Record\Detailed_Requirements\Global Record DR7 Reporting.docx

1 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 Reporting. 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.

The reporting area of the GR is intended to provide information to an end user that may be used in the analysis of many aspects of the data held in the GR and provide a mechanism to make this data directly available to user in a format that may be used off-line.

The reports developed are based on the understanding of the data being collected by the GR as at the time of writing. These data sets have yet to confirmed so these requirements will require review once the data has been agreed upon to ensure these are feasible.

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 HLR7: Reporting

The reporting functions of the GR provide a simple method of extracting data from the GR. These reports may be extracted to a variety of formats depending on the requirements of the user.

2.1   Detailed Requirements

Requirement No.:	7.1.0 Availability
Requirement:	The reporting functions will only be available to all user roles
Rationale:	Reporting is an important tool in improving the transparency of the activities undertaken by fishing vessels
Business Value:	Low
Business Rules:	
Related Req's:	
Assumptions:	There are no reports that will be available to different user roles

Requirement No.:	7.2.0 Format
Requirement:	All reports are to be available in multiple formats including: pdf, xls, xlsx, doc, docx, csv, html
Rationale:	The wide user base means that formats available must be broad to support many different technologies
Business Value:	High
Business Rules:	
Related Req's:	
Assumptions:	

Requirement No.:	7.3.0 Vessel as at a date report parameters
Requirement:	The Vessel as at a date report will allow a report to be run on the following parameters: • A single vessel • Date The system will allow the vessel to be identified by UVI number, IMO Number, Call sign, or Name and perform a search first and allow the user to select the unique vessel if the criteria entered returns more that 1 vessel
Rationale:	This report will provide a snapshot in time of the vessel in question. This will allow a historical view of the vessel to be made clearly available
Business Value:	Medium
Business Rules:	The report can only be run for a single vessel The report will provide a simple search to allow a user to identify a vessel based on incomplete information (UVI number, IMO Number, Call sign, or Name, including partials of these) The default Date will be today's date If there is no data for the vessel at the date selected, the system must inform the user of this
Related Req's:	
Assumptions:	The search will reuse the vessel search functions where possible and return the same data set

Requirement No.:	7.4.0 Vessel as at a date report details
Requirement:	The Vessel as at a date report will return the following information: Header information: • Report name • IMO number • Date the report requested for • GR logo Report body: **Vessel Details:** • Name • Call sign • Flag • Date entered on register • IMO Number • Operator • Vessel Type • Owner • GR UVI number • Master • Port of Registry • Fishing Method(s) • Superstructure colour • Hull Colour • Length • Depth • Beam • Gross Registered Tonnage • Power Main engine • Vessel Markings • Normal Crew • VSM Type and details • Freezer Type • No of Freezers • Total Freezer capacity • Total Hold capacity **Authorisations:** Grid with the following information: Issuing Organisation, Authorisation Type, Period, Status **IUU Activity:** Grid with the following information: Reporting Organisation, Date, Description
	Activity Information: Grid with the following information: Reporting Organisation, Type, Date **Vessel Images:** Thumbnail of images Footer: • First name and surname of person who ran the report • The date the report was generated • Any disclaimer information necessary* (TBC) • Identification of the data source *Note: Once the data expected for Vessels, Authorisations, IUU and Activity are finalised, the data returned in this report is to be reviewed*

Rationale:	This report will provide a snapshot in time of the vessel in question. This will allow a historical view of the vessel to be made clearly available.
	This report would be useful for any inspecting authority, search and rescue or compliance organisation to give them an adequate background on the vessel
Business Value:	Medium
Business Rules:	If there is no data for a field, the field is still to be displayed
	If the Operator or Owner field has not data, the field should show: 'Unknown'
	The report should return data which was valid at the date the report was run for
	The report should fit on a single A4 sheet (actual layout TBC)
Related Req's:	1.1
Assumptions:	Not all vessel information will be required for this report

Requirement No.:	7.5.0 Vessel history report parameters
Requirement:	The Vessel as at a date report will allow a report to be run on the following parameters:
	• A single vessel
	The system will allow the vessel to be identified by IMO number, Call sign, or Name and perform a search first and allow the user to select the unique vessel if the criteria entered returns more that 1 vessel
Rationale:	This report will show any changes in vessel information over time
Business Value:	Medium
Business Rules:	The report can only be run for a single vessel
	The report will provide a simple search to allow a user to identify a vessel based on incomplete information (IMO number, Call sign, or Name, including partials of these)
	If there is no data for the vessel at the date selected, the system must inform the user of this
Related Req's:	
Assumptions:	The search will reuse the vessel search functions where possible and return the same data set

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Requirement No.:	7.6.0 Vessel history report details
Requirement:	The Vessel as at a date report will return the following information: Header information: - Report name - IMO number and GR UVI (if different) - Date the report requested for - GR logo Report body: **Vessel Details:** Format: Field name: value (date), previous value (date), previous value (date) <table><tr><td> - Name - Flag - IMO Number - Vessel Type - GR UVI number - Port of Registry - Superstructure colour - Length - Beam - Power Main engine - Normal Crew - Freezer Type - Total Freezer capacity </td><td> - Call sign - Date entered on register - Operator - Owner - Master - Fishing Method(s) - Hull Colour - Depth - Gross Registered Tonnage - Vessel Markings - VSM Type and details - No of Freezers - Total Hold capacity </td></tr></table> **Vessel Images** Thumbnail of images (date) Footer: - First name and surname of person who ran the report - The date the report was generated - Any disclaimer information necessary* (TBC) - Identification of the data source *Note: Once the data expected for Vessels are finalised, the data returned in this report is to be reviewed*
Rationale:	This report will provide a snapshot in time of the vessel in question. This will allow a historical view of the vessel to be made clearly available

Business Value:	Medium
Business Rules:	If there is no historical data for the vessel then only the current information is displayed
	The date displayed next to the historical data is the date that this data was changed to be this value or in the case of images, the date the image was uploaded
	Values are to be displayed from left to right with the left most value being the current value
	If there is no data for a field, the field is still to be displayed
	If the Operator or Owner field has not data, the field should show: 'Unknown'
	The report should fit on a portrait A4 sheet width wise but may be longer length wise (actual layout TBC)
Related Req's:	
Assumptions:	

Requirement No.:	7.7.0 Operator vessel summary report parameters
Requirement:	The Operator vessel summary report will allow a report to be run on the following parameters:
	• A single Operator
	• From date
	• To Date
	The system will allow the operators to be identified by Name and perform a search first and allow the user to select the unique operator
Rationale:	This report will show a summary of the vessels under the control of an operator
Business Value:	Medium
Business Rules:	The report can only be run for a single operator
	The report will provide a simple search to allow a user to identify a operator based on incomplete information (Name)
	From and To date are optional. Where they are provided the report is to be inclusive of these dates.
	If there is no data for the operator for the period selected, the system must inform the user of this
Related Req's:	
Assumptions:	The search will reuse the operator search functions where possible and return the same data set

Requirement No.:	7.8.0 Operator vessel summary report
Requirement:	The Operator vessel summary report will return the following information: Header information: • Report Name • Operator Name • Time period Report body: Vessel details grid: GR UVI, IMO No, Name(s) of vessel for period, Flag, Period, Vessel type, Count of IUU activity reports, List of flag states with activity records for vessel, List of flag states with authority records for the vessel Footer: • First name and surname of person who ran the report • The date the report was generated • Any disclaimer information necessary* (TBC) • Identification of the data source *Note: Once the data expected for Vessels are finalised, the data returned in this report is to be reviewed*
Rationale:	This report will show a summary of the vessels under the control of an operator
Business Value:	Medium
Business Rules:	If there is no data for a field, the field is still to be displayed The report should fit on a single A4 sheet (actual layout TBC)
Related Req's:	
Assumptions:	The search will reuse the operator search functions where possible and return the same data set

Requirement No.:	7.9.0 Authorisations report parameters
Requirement:	The Operator authorisations report will allow a report to be run on the following parameters: • A single Operator • A single Vessel • From date • To Date The system will allow the operators to be identified by Name and perform a search first and allow the user to select the unique operator The system will allow the vessel to be identified by IMO number, Call sign, or Name and perform a search first and allow the user to select the unique vessel if the criteria entered returns more that 1 vessel
Rationale:	This report will show a summary of the fishing authorisations that have been issued to an Operator or Vessel or combination of the two Note – some jurisdictions issue the authorisation to the person or company and not a vessel
Business Value:	Medium
Business Rules:	The report can only be run for a single operator or single vessel The report will provide a simple search to allow a user to identify a operator based on incomplete information (Name) From and To date are optional. Where they are provided the report is to be inclusive of these dates. If there is no data for the operator for the period selected, the system must inform the user of this
Related Req's:	
Assumptions:	The search will reuse the operator and vessel search functions where possible and return the same data set

Requirement No.:	7.10.0 Authorisations report
Requirement:	The Operator vessel summary report will return the following information: Header information: • Report Name • Operator Name and / or Vessel name and IMO number • Time period Report body: **Authorisations:** Grid with the following information: Issuing Organisation, Authorisation Type, Period, Status Footer: • First name and surname of person who ran the report • The date the report was generated • Any disclaimer information necessary* (TBC) • Identification of the data source *Note: Once the data expected for Authorisations are finalised, the data returned in this report is to be reviewed*
Rationale:	This report will show a summary of the vessels under the control of an operator
Business Value:	Medium
Business Rules:	If there is no data for a field, the field is still to be displayed The report should fit on a single A4 sheet (actual layout TBC)
Related Req's:	
Assumptions:	The search will reuse the operator search functions where possible and return the same data set

Requirement No.:	7.11.0 IUU Activity report parameters
Requirement:	The IUU activity report will allow a report to be run on the following parameters: • A single vessel • Flag state * • Species * • RFMO * • From date • To Date The system will allow the operators to be identified by Name and perform a search first and allow the user to select the unique operator
Rationale:	This report will show a summary of the IUU reported against or during the report parameters specified
Business Value:	Medium
Business Rules:	* Indicates that these search fields comprise system-generated drop-down values. The report can only be run for a single vessel The report will provide a simple search to allow a user to identify a operator based on incomplete information (Name) From and To date are optional. Where they are provided the report is to be inclusive of these dates. If there is no data for the operator for the period selected, the system must inform the user of this
Related Req's:	
Assumptions:	The search will reuse the operator search functions where possible and return the same data set

Requirement No.:	7.12.0 IUU Activity report
Requirement:	The Operator vessel summary report will return the following information: Header information: • Report Name • Vessel name and IMO number • Time period Report body: **IUU Activity:** Grid with the following information: Reporting Organisation, Date, Description Footer: • First name and surname of person who ran the report • The date the report was generated • Any disclaimer information necessary* (TBC) • Identification of the data source *Note: Once the data expected for IUU Activity is finalised, the data returned in this report is to be reviewed*
Rationale:	This report will show a summary of the vessels under the control of an operator

Business Value:	Medium
Business Rules:	If there is no data for a field, the field is still to be displayed The report should fit on a single A4 sheet (actual layout TBC)
Related Req's:	
Assumptions:	The search will reuse the operator search functions where possible and return the same data set