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**MAINTENANCE PROCEDURES
REFERENCE DATA AND RIS INDEX**

Annex 3 to the report "consolidation of the RIS Index and Reference data"

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Author: **DVS**

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Authors of the document

Responsible organisation	Principal author
DVS	Peter Oudenes

Contents

1 INTRODUCTION

RIS references and code tables are key elements in the RIS-standards and are an important link between the various RIS-services. The exchange of computerised data without direct human interference between the RIS users and the RIS services is facilitated by the use of codes and references. To ensure proper exchange of data there are a number of pre-conditions:

- Reference and code tables are not static. They may change by international and or local rules and regulations additional requirements, the need for harmonisation and other requests. However, it is of the utmost importance that the maintenance of the reference and codes tables is executed in such way that maximum stability and consistency is achieved. No changes, e.g. in the naming should be applied. The only changes that should be accepted are extra entrees and where necessary deletions and if possible minor corrections due to typos.

- In order to ensure interoperability throughout the whole transport and logistics chain, the general principle is that the components of the RIS reference data shall be kept in line with international standards such as the ISO, UN/TDED, UN/ECE recommendations, and other relevant standards as has been indicated in the RIS Directive.

  [(RIS Directive) For safety reasons and in the interest of Europe-wide harmonisation, the contents of these common requirements and technical specifications should build on work carried out in this field by relevant international organisations, such as the International Association for Navigation (PIANC), the Central Committee for Navigation on the Rhine (CCNR) and the UN Economic Commission for Europe (ECE).]

- Distribution of codes and reference data shall be executed in such way that all involved parties will have access to the data and will use the same reference and code tables to ensure compatibility. When applicable, this can be obtained through the principle of downwards compatible changes. Meaning that the last two versions of the tables before the change should be acceptable to all applications.

In order to achieve the above objectives, clear and unambiguous maintenance procedures and applicable processes are an essential requirement. This document describes the detailed maintenance procedures and the underlying agreements regarding change management and maintenance of the reference data used in the RIS-standards.

1.1 Version

Date	Version	Name	Description
2009-10-28	0.1	Mr. Oudenes	First version
2010-01-12	0.2	Cas Willems	Some amendments
2010-02-10	0.3	Mr. Oudenes	Amendments based on the remarks of Mr. Birklhuber
2010-02-23	0.4	Mr. Oudenes	Amendments based on the remarks of Mr. Lijster
2010-03-28	0.5	Mr. Oudenes	Amendments based on the publication of COMMISSION REGULATION (EU) No 164/2010 provided by the ERI Expert Group

1.2 Maintenance of these procedures.

This document and the mentioned procedures will be maintained through the applicable change request procedure. Requests for changes to the document or its procedures will need to be accepted by all relevant expert groups.

1.3 References

This document is based on a number of relevant documents. Where required [text within brackets] will be used to refer to the contents of those documents.
The documents are:
- UN/ECE Data maintenance procedures
- WCO data maintenance procedures
- RIS Directive [RD]
- ERI Guide 2.0
- EMSA(Safe Sea Net) maintenance procedures

2 ORGANISATION

The various member states may have their own RIS implementations, but shall, in accordance with the RIS-directive and the technical annexes, use the standards and the respective codes and reference data as published in the European Journal by the European Commission.

The codes and reference data as published and or referred to in the mentioned standards have to be maintained and updated.

The implementation of RIS-services requires a harmonised and uniform use of codes and reference data, in particular where various standards use the same type of data, in order to guarantee the inter-operability between the various RIS-services

To ensure that all involved parties are using the same code and reference data for the same purpose simultaneously, a single source and unique distribution channel is required.

The respective tasks, procedures and associated responsibilities for the maintenance of codes and reference data are executed by the RIS data administration focal point. This focal point administers supports and operates on behalf of the RIS-expert groups.

All decisions to determine whether codes and reference data are to be considered part of a standard, respectively the adoption of modifications with respect to codes and reference data are the responsibility of the RIS-expert groups.

3 MAINTENANCE OF CODES AND REFERENCE DATA

The need to maintain uniform code and reference tables and the requirement to keep the various tables stable and uniform requires stringent procedures and processes for the maintenance, distribution and usage of the various codes.

For a number of codes and references the maintenance is a relatively easy task as this is done through international organisations publishing any new or modified code and indicating at which time these codes have to be implemented.

However to facilitate the maintenance of all code and reference tables, (each with their own specific characteristic update frequency and maintenance procedures), the respective code and references tables used in the RIS environment are divided in three categories each with their own procedure.

- A. References, codes and code tables maintained by an official recognised organisation
- B. National and Regional codes and references maintained by member states for usage in a certain area.
- C. Standard codes and references which are part of the published written technical specifications and maintained by the expert groups.

3.1 Category A : References, codes and code tables maintained by an official recognised organisation

International codes and references maintained by a recognised international organisation such as ISO, CCNR, WCO or UNECE. Publication of changes to the tables will take place at regular intervals as a result of user requirements (Examples are the UN/LOCODES, the type of means of transport, transport mode, country and currency codes, freight costs and charges) or as a result of changes in regulations or directives (Examples are the UNDG, IMDG, the HS/CN codes, and the ADN/ADNR/D).

Note: for some of these code and references such as the HS codes, Vessel types, Container types and other code sets, so-called subsets are used to facilitate maintenance and actual usage. Such subsets need co-ordination and maintenance by the RIS data administration focal point under guidance of the respective expert group.

3.2 Category B: National and Regional codes and references maintained by member states for usage in a certain area.

National and Regional codes and references maintained by a public organisation for usage in a certain area. (E.g. within the RIS community this means the reference data which in accordance with the RIS directive shall be supplied by the Member States (e.g. as defined in Annex I of the RIS-directive)).

3.3 Category C: Standard Codes and references which are part of the published written technical specifications and maintained by the expert groups.

Modifications to standard codes and references used in the respective RIS environment and which are an integral part of the published written standards are the area of responsibility of the Expert groups and should as such be co-ordinated within these groups (ERI, Nets, T&T and Inland ECDIS).

4 MAINTENANCE PROCEDURES

The first chapters of this document describe the need for clear maintenance procedures and processes, the position of the RIS data administration focal point and its general responsibilities.

Thereafter the general maintenance procedures are provided, whilst in the sub-paragraphs a comprehensive maintenance procedure is given for each of the three categories mentioned.

The maintenance procedure consists of the following steps:

1. The RIS data administration focal point receives a request for modification to the code tables and registers the change request.

2. The RIS data administration focal point checks and completes the request.

3. The RIS data administration focal point forwards the change request to the competent responsible party (e.g. the RIS-expert-group, Member States etc)

4. Based on the response of this responsible party, the RIS data administration focal point sends feedback on required modifications of the request to the requestor.

5. After acceptance of the modification by the competent responsible party (e.g. RIS-expert-groups, Member States etc) the RIS data administration focal point will process the change.

6. The RIS data administration focal point will through its maintenance administrator distribute an update of the modified code and reference data.

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4.1 Procedure A: Maintenance procedure of Reference codes and code tables maintained by an official recognised organisation (Category A)

Annex A of this document indicates to which reference data this procedure applies.

4.1.1 Responsibilities
- The code and reference tables under this category are managed and maintained by the respective recognised international organisations.
- The RIS data administration focal point has the obligation to notify the responsible international organisation of any required modification.
- The RIS data administration focal point has the obligation to check whether updates are published respectively made available by the respective organisations.
- The RIS data administration focal point will only provide the official published languages.
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- Where national languages are required, it is the responsibility of the respective member states to provide the correct translation in basic Roman characters without diacritic signs.

- The RIS data administration focal point, has the obligation to notify the responsible RIS expert group and upon acceptance, to process and distribute the modifications.

4.1.2   Comprehensive maintenance procedure
This procedure consists of the following steps:

1) On a daily basis the RIS data administration focal point checks whether any international organisation has published an update or modification.
2) The RIS data administration focal point checks if the change is relevant for the RIS environment
3) If relevant, and upon acceptance respectively authorisation of the responsible RIS Expert group the change will be processed.
4) Start the distribution procedure (See chapter 5)

4.1.3   Distribution/Publication
The publication date of this reference data is determined by the official body based on regulations, directives or standards. The actual date of implementation shall be determined by the responsible RIS expert group(s) the RIS data administration focal point upon accordance of the change by the RIS Expert group shall distribute this code and reference data expediently among all involved parties (E.g. ADNR, HS).

4.1.4   Process flow
This paragraph gives a visualisation the procedure

```
┌──────────────┐
│   Check if   │
│   updated    │
│  reference   │
│   data is    │
│    aviable   │
└──────┬───────┘
       │
       ▼
      ◇◇◇
    ◇       ◇
  ◇ Avialible  ◇
    ◇       ◇
      ◇◇◇
       │ Yes
       ▼
      ◇◇◇
    ◇       ◇
  ◇ Relevant ◇
  ◇ updates  ◇
    ◇       ◇
      ◇◇◇
       │ Yes
       ▼
┌──────────────┐
│   Process    │
│ updated data │
└──────┬───────┘
       │
       ▼
┌──────────────┐
│    Start     │
│ distribution │
│  procedure   │
└──────────────┘
```

4.2 Procedure B: Maintenance procedure National and Regional codes and references maintained by member states for usage in a certain area (Category B).

Annex B of this document indicates to which reference data this procedure applies.

4.2.1 Responsibilities
- The code and reference tables under this category are managed and maintained by member states.
- Member states will provide the description of a code and reference in the International accepted spelling in accordance with the rules given in UN Recommendation 16 (UNLOCODE) and where applicable in the spelling of the local used language in basic Roman characters without diacritic signs.
- The RIS data administration focal point has the obligation to notify the responsible member state of any required modifications.
- The RIS data administration focal point has the obligation to check whether updates are published respectively made available by member states.
- The RIS data administration focal point, has the obligation to notify the responsible RIS expert group and upon acceptance, to process and distribute the modifications.
-

4.2.2 Comprehensive maintenance procedure
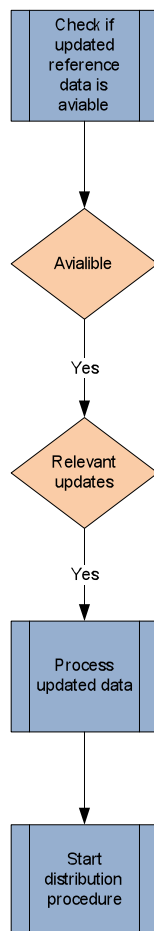This procedure consists of the following steps:

1. On a daily basis the RIS data administration focal point checks whether any member state has published an update or modification.
2. The RIS data administration focal point checks if the change is relevant for the RIS environment
3. If relevant, and upon acceptance respectively authorisation of the responsible RIS Expert group the change will be processed.
4. Start the distribution procedure (See chapter 5)

4.2.3 Distribution/Publication
No specific actions required, see chapter 5 for the procedure.

4.2.4 Process flow
This paragraph gives a visualisation the procedures

```
        ┌─────────────┐
        │   Check if  │
        │   updated   │
        │  reference  │
        │   data is   │
        │   aviable   │
        └──────┬──────┘
               │
               ▼
            ◇ Avialible ◇
               │
              Yes
               │
               ▼
           ◇ Relevant ◇
           ◇ updates  ◇
               │
              Yes
               │
               ▼
        ┌─────────────┐
        │   Process   │
        │ updated data│
        └──────┬──────┘
               │
               ▼
        ┌─────────────┐
        │    Start    │
        │ distribution│
        │  procedure  │
        └─────────────┘
```

4.3 Procedure C: Standard codes and references which are part of the written technical specifications and maintained by the expert groups (Category C)

Annex C of this document indicates to which reference data this procedure applies.

4.3.1 Responsibilities

- The code and reference tables under this category are managed and maintained by European Commission.
- Change requirements may originate from the respective users of the message such as authorities and reporting parties. The RIS data administration focal point will administer the requirements and inform the relevant RIS expert group.
- The RIS data administration focal point has the obligation to notify the responsible department of European Commission of any required modifications.
- The RIS data administration focal point has the obligation to check whether updates are published respectively made available by the European Commission.
- The RIS data administration focal point, has the obligation to notify the responsible RIS expert group and upon acceptance, to process and distribute the modifications.

4.3.2 Comprehensive maintenance procedure
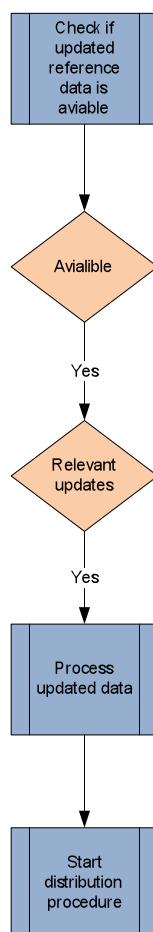
This procedure consists of the following steps:

1. On a daily basis the RIS data administration focal point checks whether European Commission has published any update or modification.
2. The RIS data administration focal point checks if the change is relevant for the RIS environment.
3. If relevant, and upon acceptance respectively authorisation of the responsible RIS Expert group, the change will be processed.
4. Start the distribution procedure (See chapter 5)

4.3.3 Distribution/Publication

No specific actions required, see chapter 5 for the procedure.

4.3.4 Process flow

This paragraph gives a visualisation the procedures
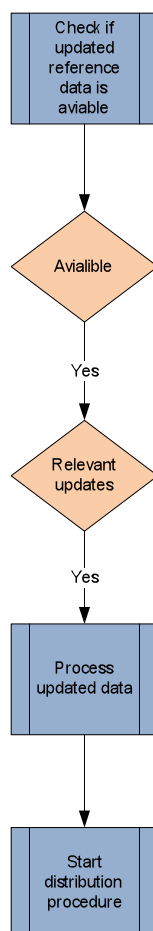
4.4 Procedure D : Modification request by the RIS environment

Modifications, which consists of additions and where required deletions may originate from various sources (rules and regulations, additional requirements etc). This paragraph describes the procedure to be followed with respect to changes initiated by the various RIS-users. Modifications initiated by a change of rules and regulations of the involved member states respectively official bodies are described under paragraphs 4.1, 4.2 and 4.3.

In case a RIS-user observes that a specific entry   in a reference and/or code table is missing or needs a correction, such a user either submits a change request to start an official change request procedure or reports the missing entry to the competent authority or branch organisation for further processing. Either way the request shall result in a proper change request to be submitted to the RIS data administration focal point to deal with the modification   by submitting an official change request to be handled by the RIS Expert group in accordance with the aforementioned procedure. For a change request the form as defined in the Terms of Reference of the RIS expert group shall be used.

4.4.1 Maintenance procedure modifications provided by parties involved in RIS

This maintenance procedure consists of the following steps:

- To propose a modification to the code and reference tables, a party will submit a request for change to RIS data administration focal point. The request should at least contain the following information:
    - o Type of change : Addition of a code, deletion of a code, correction of a code
    - o To which code table the request applies
    - o Timing
    - o Business reason for the request
- After receipt of the change request, the RIS data administration focal point assigns a unique identifier and records the request.
- The RIS data administration focal point checks and completes where necessary the request. In case of an incomplete request or lack of clarity, the request will be returned to the submitter.
- The RIS data administration focal point will draft an official change request and forward this change request to the applicable RIS-expert group(s).
- The RIS-expert group(s) will react on the change request giving their consolidated remarks and arguments, the response could say:
    - o Rejected with arguments
    - o Accepted directly, the requested modification will be processed and distributed.
    - o Accepted timing to be confirmed, the change request has been adopted, but the modification will available at a later stage due to procedures
    - o On hold, further discussion required
    - o To be forwarded to the official responsible body

- The RIS data administration focal point will keep a record and where required pro-cess the change request based on the reaction of the RIS-expert group

- The RIS data administration focal point informs the submitter about the status of the change request.

4.4.2 Authorisation of the RIS data administration focal point by an RIS-expert group

Of some of the reference and code tables handled by RIS-services, only a subset is in use (for more detail see paragraph 4.5). A RIS-expert group may authorise the RIS data adminis-tration focal point to act on behalf of a RIS-expert group for certain described maintenance tasks. This may include processing certain change requests without direct day to day in-volvement of the RIS-expert group.
The following conditions are applicable in its entirety:
- The change request concerns only the addition of an existing code to a sub-set of a reference or code table
- The relevant code or reference table is not an integral part of the published standard
- A reference exists to an external table
- The requested change has already been applied or requested.

The RIS data administration focal point has been authorised to act in accordance with these conditions with respect to the following Sub-sets.
- Freight container size and type code
- Package type code
- HS/CN code
- Terminal Codes
- Country codes (for ERI)

4.4.3 Process flow
This paragraph gives a visualisation the procedures
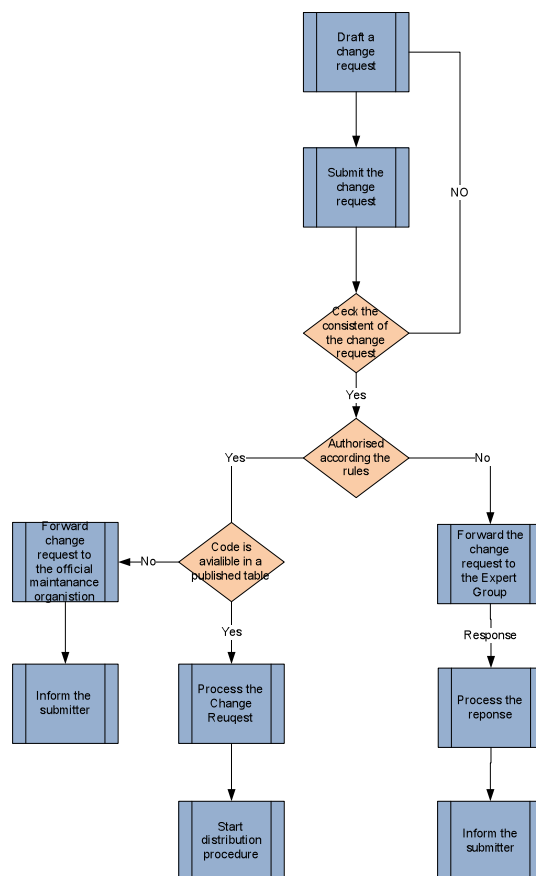
4.5 Procedure E: Generation of Sub-Sets of specific reference and code tables

Some RIS-services require certain parts of published code and reference tables; these are the so called SUB-sets of reference and code tables. Moreover there may be a need to ensure that certain additional and or locally used codes and references are shared throughout the RIS environment.

The maintenance and provision of the algorithms to determine a certain sub-set and the addition of extra code tables is the responsibility of the RIS-expert group, based on the requirements of the RIS-environment. The RIS data administration focal point will use these algorithms to generate a sub-set or extra code tables for specific purposes, based on the published or supplied data and where applicable downwards compatibility is available.

4.5.1 Distribution

In various RIS-services only a subset is used and not the whole table. Of the following reference and code table only the sub-set will be provided:

- Vessel Type (UN Rec 28)
- Freight container size and type code
- Package type code
- Handling Instructions
- Purpose of call

- Nature of cargo
- HS / CN codes

4.5.2   Process flow

This paragraph gives a visualisation the procedure
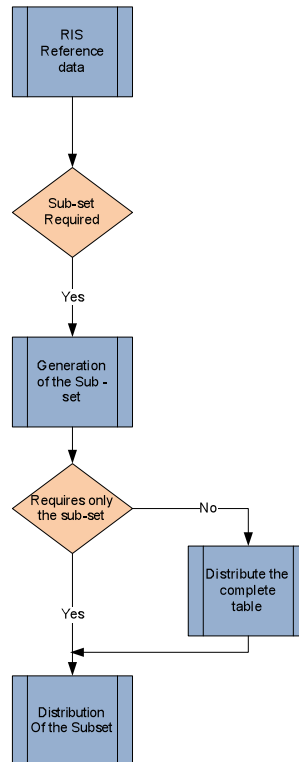
5 DISTRIBUTION OF THE DATA

From an operational point of view it is of the utmost importance that the latest version of the reference and code tables is constantly available, including any adopted changes. It is imperative that these tables should remain correct and consistent.

5.1 Responsibility

The RIS data administration focal point has the obligation to:
- Verify and validate the reference and code tables on correctness and consistency of the codes and references before distribution
- Generate the necessary sub-sets of specific reference and code tables (as determined by the RIS-expert groups) based on the requirements of the RIS-environment
- In case a table or code table has an actual date of implementation determined by the responsible RIS expert group(s), The RIS data administration focal point shall distribute these code and reference tables on that specific date.
- To make the necessary codes and reference table including any adopted modifications constantly available to the RIS environment
- To take care of expedient distribution of the code and reference data
- Notify the parties involved in RIS- that an updated version of the code and reference tables is available.

5.2 Process flow

This paragraph gives a visualisation the procedures

![platina logo]

```
                    ┌──────────┐
                    │   RIS    │◀────────────────┐
               ┌───▶│Reference │                 │
               │    │   data   │                 │
               │    └────┬─────┘                 │
          No   │         │                       │
               │    ┌────▼─────┐                 │
               │    │ Updated  │                 │
               └────│ version  │                 │
                    │Avialible │                 │
                    └────┬─────┘                 │
                       Yes│                      │
        ┌──────────┐  ┌───▼──────┐               │
        │ Official │  │Has a     │               │
  No────│Publication│◀─│official   │              │
        │   data   │  │publication│              │
        └────┬─────┘  │   data   │               │
             │        └────┬─────┘               │
             │          No │                     │
             │        ┌────▼──────┐              │
             │        │Check on the│             │
             └─Yes────│correctness │             │
                      │   and     │              │
                      │consistency│              │
                      └────┬──────┘              │
                      ┌────▼─────┐   ┌──────────┐│
                      │   Data   │   │Correct the││
                      │ Correct  │─No│   data   │┘
                      └────┬─────┘   └──────────┘
                      ┌────▼─────┐
                      │Distribute│
                      │updated data│
                      └────┬─────┘
                      ┌────▼─────┐
                      │Notify users│
                      └──────────┘
```
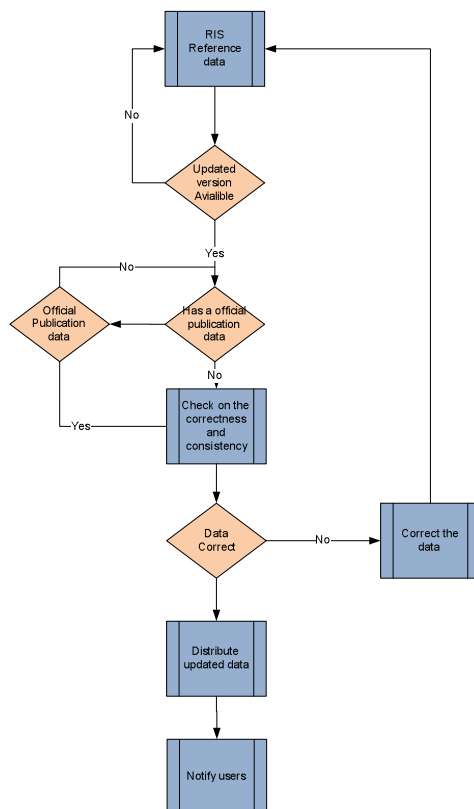
6 ANNEX PROCEDURE A

Reference codes and tables	External Maintenance Organisation	Used in Standard		
		ERI	T&T	NTS
Vessel and convoy type (UN Recommendation 28)	UNECE	X	X	
Harmonized commodity description and coding system 2002 (HS, goods)	World Customs Organization	X		
Combined nomenclature (CN, goods)	EU Commission, Statistical Office EUROSTAT	X		
Standard goods classification for transport statistics /Revised (NST/R, goods)	EU Commission, Statistical Office EUROSTAT	X		
UN dangerous goods number (UNDG)	UNECE	X		
International maritime dangerous goods code (IMDG)	International Maritime Organization IMO	X		
ADN/ADNR	Central Commission for the Navigation on the Rhine	X		
RISINDEX				
UN code for country and nationality	International Organisation for Standardization (ISO)	X	X	
UN code for trade and transport locations (UNLOCODE)	UNECE/CEFACT	X	X	
Freight container size and type code	International Organisation for Standardisation (ISO)	X		
Container Identification code	International Organisation for Standardisation (ISO)	X		
Package type code	UN CEFACT	X		
Handling Instructions	UN CEFACT	X		
Purpose of call	UN CEFACT	X		
Nature of cargo.	UN CEFACT	X		

7 ANNEX PROCEDURE B

Reference codes and tables	External Maintenance Organisation	Used in Standard		
		ERI	T&T	NTS
RISINDEX and ERI-Index				
UN code for country and nationality	International Organisation for Standardization (ISO)	X	X	X
UN code for trade and transport locations (UNLOCODE)	UNECE/CEFACT	X	X	x
Fairway section code	National administrations of waterways	X	X	x
Terminal code	National administrations of waterways	X	X	x

8 ANNEX PROCEDURE C

Reference codes and tables	External Maintenance Organisation	Used in Standard		
		ERI	T&T	NTS
Vessel and convoy type (UN Recommendation 28)	UNECE	X	X	
RISINDEX and ERI-Index				
UN code for country and nationality	International Organisation for Standardization (ISO)			X
TAGS				X
Barge_code				X
Communication_code				X
Direction_code				X
Indication_code				X
Interval_code				X
Language_code				X
Limitation_code				X
Measure_code				X
Position_code				X
Reason_code				X
Reference_code				X
Regime_code				X
Reporting_code				X
Subject_code				X
Target_group_code				X
Ice_condition_code				X
Ice_accessibility_code				X
Ice_classification_code				X
Ice_situation_code				X
Weather_calss_code				X
Weather_item_code				X
Weather_category_code				X
Direction_code_min				X
Direction_code_max				X
Weather type code	EMMA CODES		x	
Weather category code	EMMA CODES		x	

Wind direction code	EMMA CODES		x	