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| REPORT from the CorResponDence Group (A.857 Revision)  TO VTS46 |
|  |
| 29 January 2019 |
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**This page intentionally blank** **Report from the Correspondence Group (A.857 Revision) to VTS46**

Executive Summary

A key outcome of the Intersessional Meeting of the Operations Working Group (Working Group 1) of the VTS Committee held at IALA headquarters 10-13 April 2018 was the formation of the Correspondence Group (A.857 Revision) to facilitate achieving the work associated with the revision of IMO Resolution A.857(20) Guidelines for Vessel Traffic Services within the proposed 2018-2019 biennium of IMO.

31 Committee members from 20 organisations, representing Competent Authorities, VTS Authorities, sister organisations and industrial members, have participated in the Correspondence Group (via teleconference) since its formation in June 2018.

Through the expertise and experience of Committee members, the Group has completed the following tasks associated with preparing the revised /new Resolution for the Committee’s consideration:

* **VTS45** – Key inputs included:
  + The draft work programme for completing the revision of resolution A.857(20).
  + The draft proposal for the seminar on the revision of A.857(20) to broaden participation and engagement in preparing the draft revision and assist the Committee finalise the draft revision.
  + The ‘*Guiding Principles’* and draft skeleton to commence drafting the revised/new resolution.

Based on the ‘*Guiding Principles*’ and draft skeleton, the Committee prepared a first draft of the revised /new resolution at VTS45. It was also agreed that the Correspondence Group be continued to prepare the second draft of the revised /new resolution for the Committees consideration at VTS46.

* **VTS46** – Since VTS45 the Group has completed the following tasks for the VTS Committee’s consideration:
* Revised/new resolution for VTS (Version 2) - A comprehensive revision of the first draft accepted at VTS45 has been completed (*Annex A*).

It is the view of the Group that the document is developing well. With further input at VTS46, a mature draft will be available to facilitate discussion and active engagement amongst stakeholders at the Seminar in June.

* *‘Guiding Principles’* for drafting the Revised/New Resolution for VTS - The ‘*Guiding Principles’* provide the framework for drafting the revised/new resolution in a manner that will ensure the outcomes identified in the submission to the IMO (MSC 99/20/3) are achieved. That is:

*“The output is required for VTS to fulfil its role as a measurable and proactive instrument in the prevention of maritime incidents and accidents. This will be achieved by providing a clear and concise framework to implement and deliver VTS globally in a realistic, consistent and harmonized manner.”*

Minor enhancements have been made to the document accepted at VTS45 to facilitate communicating how the draft has been prepared and assist when engagement is broadened.

* *Work programme for completing the revision of resolution A.857(20)* - The Work program has been updated to include the Seminar dates (as approved by Council in December) and submission deadlines for information papers to NCSR and MSC. (*Annex C*).

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**Report from the Correspondence Group (A.857 Revision) to VTS46**

# BACKGROUND

An Intersessional Meeting of the Operations Working Group (Working Group 1) of the VTS Committee was held at IALA headquarters 10-13 April 2018 to facilitate achieving the work associated with the revision of IMO Resolution A.857(20) Guidelines for Vessel Traffic Services within the proposed 2018-2019 biennium of IMO.

The meeting also concluded that a Correspondence Group be formed to facilitate achieving the work associated with the revision of IMO Resolution A.857(20) Guidelines for Vessel Traffic Services within the proposed 2018-2019 biennium.

The Correspondence Group met 7 times (via teleconference) prior to VTS45. Key inputs to VTS45 included:

* + The draft work programme for completing the revision of resolution A.857(20).
  + The draft proposal for the seminar on the revision of A.857(20) to broaden participation and engagement in preparing the draft revision and assist the Committee finalise the draft revision.
  + The ‘*Guiding Principles’* and draft skeleton to commence drafting the revised/new resolution.

Based on the ‘*Guiding Principles’* and draft skeleton, the Committee prepared a first draft of the revised /new resolution at VTS45. It was also agreed that the Correspondence Group be continued to prepare the second draft of the revised /new resolution for the Committee’s consideration at VTS46.

# INTRODUCTION

The Correspondence Group was chaired by Neil Trainor and the Secretary was Kerrie Abercrombie.

31 Committee members from 20 organisations, representing Competent Authorities, VTS Authorities, sister organisations and industrial members, have participated in the Correspondence Group (via teleconference) since its formation in June 2018.

|  |  |
| --- | --- |
| Australia | Australian Maritime Safety Authority |
| Belgium | Shipping Assistance Division |
| Finland | Finnish Transport Infrastructure Agency  Vessel Traffic Services Finland Ltd |
| France | Direction des Affaires Maritimes |
|  | IALA |
| Japan | Japan Coast Guard |
| Netherlands | Dutch Pilots Corporation |
|  | Ministry of Infrastructure and the Environment |
|  | Port of Rotterdam |
| Norway | Norwegian Coastal Administration |
| People’s Republic of China | China Maritime Safety Administration |
| Russia | Traffic Control & Management Solutions |
| Singapore | Maritime and Port Authority of Singapore |
| Spain | Spanish Maritime Safety Agency |
| Sweden | Swedish Transport Agency |
| UK | International Harbour Masters Association |
|  | Nautical Institute |
|  | Vissim AS |
| USA | Maritime Institute of Technology and Graduate Studies |

Participants in the Group are listed at Annex D.

The Correspondence Group has met 11 times since its formation (via teleconference) as shown below.

| **Meeting Number** | **Date** | **Comments** |
| --- | --- | --- |
| 1 | 28 Jun 2018 | * A report on the outcomes from meetings 1-7 was provided to the Committee at VTS45 (*VTS45-8.1.8 – Report from Correspondence Group (revision of A.857(20*)) |
| 2 | 12 Jul 2018 |
| 3 | 26 Jul 2018 |
| 4 | 09 Aug 2018 |
| 5 | 23 Aug 2018 |
| 6 | 30 Aug 2018 |
| 7 | 06 Sep 2018 |
| 8 | 27 Nov 2018 | * The outcomes from meetings 8-11 are provided below. |
| 9 | 18 Dec 2018 |
| 10 | 15 Jan 2019 |
| 11 | 29 Jan 2019 |

The reports from these meeting are available on the IALA share drive at: *VTS/ IALA Correspondence Group (Revision of A.857(20))/ IALA Correspondence Group meeting reports*.

# DISCUSSION

The key outcomes prepared for the VTS Committee’s consideration at VTS46 include:

* Revised/new resolution for VTS (Version 2).
* Revised ‘*Guiding Principles’* for drafting the Revised/New Resolution for VTS.
* Updated Work programme for completing the revision of resolution A.857(20).

## Revised/new resolution for VTS (Version 2)

A comprehensive revision of the first draft of a revised/new resolution for VTS accepted at VTS45 has been completed within the framework provided by the ‘*Guiding Principles’* (see 3.2).

It is the view of the Group that the document is developing well. With further input at VTS46, a mature draft will be available to facilitate discussion and active engagement amongst stakeholders at the Seminar in June.

A copy of Version 2 of the revised/new resolution for VTS is at Annex B.

## ‘*Guiding Principles’* for drafting the Revised/New Resolution

The *‘Guiding Principles’* provide the framework for drafting the revised/new resolution in a manner that will ensure the outcomes identified in the IMO document MSC 99/20/3 are achieved. That is:

*“The output is required for VTS to fulfil its role as a measurable and proactive instrument in the prevention of maritime incidents and accidents. This will be achieved by providing a clear and concise framework to implement and deliver VTS globally in a realistic, consistent and harmonized manner.”*

The document has greatly assisted the Group to focus on preparing Version 2 of the revised/new resolution in a manner that:

* Provides an appropriate high-level framework that is both clear and concise,
* Provides a link between SOLAS, the resolution, IMO documentation and requirements relevant to VTS and IALA Standards (as amended or as adopted).
* Recognises:
  + The “key areas” identified in the IMO document MSC 99/20/3; and
  + The outcomes from the Intersessional Meeting of the IALA VTS Committee’s Working Group 1 (Operations) in April 2018.

A review of the document accepted at VTS45 highlighted some minor enhancements that would facilitate communicating how the draft has been prepared and assist when engagement is broadened.

A copy of the revised version of the ‘*Guiding Principles’* is at Annex B.

## Work programme for completing the revision of resolution A.857(20)

The Work program was updated to include the Seminar dates (as approved by Council in December) and submission deadlines for information papers to NCSR and MSC.

A copy of the revised version of the Work programme is at Annex C.

# LIST OF ANNEXES

|  |  |
| --- | --- |
| Annex A | Version 2 of the revised/new resolution for VTS |
| Annex B | ‘Guiding Principles’ for drafting the Revised/New Resolution |
| Annex C | Work programme for completing the revision of resolution A.857(20) |
| Annex D | Participants of the IALA Correspondence Group (Revision of A.857(20) |

# Annex A - Version 2 of the revised/new resolution for VTS

**GUIDELINES FOR VESSEL TRAFFIC SERVICES**

[…]

[…]

[…]

HAVING CONSIDERED the recommendation made by the Maritime Safety Committee at its one hundredth session,

1. ADOPTS the revised Guidelines for Vessel Traffic Services set out in the Annex to the present resolution;

2. INVITES Governments to take account of the annexed Guideline when planning, implementing and operating a vessel traffic service in accordance with SOLAS regulation V/12;

3. RECOMMENDS Governments to encourage masters of ships navigating in an area for which a vessel traffic service is provided to make use of such a service;

4. ENCOURAGES Governments that operate vessel traffic services to consider technical and other developments recognized by the Organization relating to vessel traffic services;

5. REQUESTS the Secretary-General to bring this resolution to the attention of all Contracting Governments to the SOLAS Convention and to Members of the Organization which are not Contracting Governments to the Convention;

4. REVOKES resolution A.857(20).

**ANNEX**

**GUIDELINES FOR VESSEL TRAFFIC SERVICES**

**1 INTRODUCTION**

1.1 These guidelines are associated with the International Convention for the Safety of Life at Sea, 1974 (SOLAS) regulation V/12 and should be complied with when planning, implementing and operating a vessel traffic service under national law**.**

1.2 In complying with these guidelines Contracting Governments, or Governments should take account of applicable IMO instruments and relevant International Association of Marine Aids to Navigation and Lighthouse Authorities (IALA) Standards [see Section 7].

1.3 [Pending - possible additional paragraph proposed by the Netherlands to strengthen link between IMO and IALA as in Section 7)]

1.4 These guidelines provide the framework for the consistent and harmonized delivery of Vessel Traffic Services worldwide.

**2 DEFINITIONS AND CLARIFICATIONS**

The following terms are used in connection with a vessel traffic service:

* 1. ***Vessel traffic service (VTS)*** - a service implemented by a Government/Competent authority with the capability to interact with vessel traffic and respond to developing situations within a VTS area to improve the safety and efficiency of navigation, safety of life at sea and to support the protection of the environment.
  2. ***Competent authority*** - the authority made legally responsible by the Government for Vessel Traffic Services.
  3. ***VTS provider***- the organization / entity legally empowered by the Government / Competent authority for the provision of VTS.
  4. ***VTS area*** - the delineated, formally declared area for which the VTS provider is legally empowered to deliver a VTS.
  5. ***VTS personnel*** - persons performing tasks associated with VTS, trained in VTS operations and holding qualifications as appropriate.
  6. ***Allied services*** – services, other than VTS, supporting vessel traffic.

**3 REGULATORY AND LEGAL FRAMEWORK**

3.1 Under the general provisions of treaty law and of IMO conventions, Contracting Governments are responsible for promulgating laws and regulations and for taking all other steps which may be necessary to give those instruments full and complete effect.

3.2 Vessel Traffic Services are recognised internationally as a navigational safety measure through SOLAS, regulation V/12.

3.3 The implementation of a VTS is dependent on national law and factors such as geography, traffic characteristics and environmental conditions.

3.4 The use of VTSs may only be made mandatory in sea areas within the territorial seas of a coastal State[[1]](#footnote-1).

3.4 A VTS may also contribute to the safety of life at sea, safety and efficiency of navigation and protection of the marine environment from possible adverse effects of maritime traffic beyond the territorial seas of a coastal nation. VTSs may, therefore, be established:

* In association with an IMO adopted Ship Reporting System[[2]](#footnote-2) or a Ship Routeing System[[3]](#footnote-3), or
* On the basis of voluntary participation and compliance with the procedures of the VTS.

**4 RESPONSIBILITIES**

**4.1 Contracting Governments**

4.1.1 The Contracting Government should:

* + - 1. Promulgate laws and regulations to establish a legal basis for VTSs that gives effect to international law and SOLAS regulation V/12;
      2. Appoint and authorise a Competent authority for VTSs;
      3. Take appropriate action against a vessel flying its flag that is reported not to have complied with the provisions of a VTS;
      4. Take account of future technical and other developments recognized by the Organization relating to VTS.

**4.2 Competent authority for VTS**

4.2.1 The Competent authority should:

* + - 1. Establish a regulatory framework for establishing and operating VTSs in accordance with relevant international conventions and IMO instruments, IALA Standards and national law;
      2. Authorise a VTS provider to operate a VTS within a delineated VTS area in accordance with national and international law;
      3. Ensure that VTS training and certification is accredited and approved in accordance with IALA Standards;
      4. Establish a compliance and enforcement framework with respect to violations of VTS regulatory requirements.

**4.3 VTS provider**

* + 1. The VTS provider should:
       1. Ensure the VTS conforms with national law and the regulatory framework set by the Competent authority for VTS;
       2. Set operational objectives for the VTS that are consistent with improving the safety and efficiency of vessel traffic and protection of the environment. The objectives set should be routinely evaluated to demonstrate they are being achieved;
       3. Ensure that appropriate equipment, systems and facilities are provided;
       4. Ensure that VTS personnel are appropriately trained and qualified.
       5. Ensure that information regarding the requirements and procedures of the VTS are promulgated in appropriate nautical publications;

**4.4 Participating vessels**

4.4.1 Participating vessels in a VTS area should:

1. Provide information required by the VTS;
2. Take into account advice provided by the VTS;
3. Comply with the provisions and instructions given to the vessel by the VTS unless contradictory safety reasons exist. Masters may be required to report on their actions should they decide to disregard any instruction, advice or request given by a VTS.

**5 PURPOSE OF A VTS**

5.1 The purpose of a vessel traffic service is to improve the safety and efficiency of navigation, safety of life at sea within the VTS area and to support the protection of the marine environment, worksites and offshore installations within the VTS area and the adjacent sea and shore areas.

5.2 To achieve its purpose, a VTS should manage the safe and efficient transit of vessels within the VTS area and mitigate the development of unsafe situations, through:

1. The provision of timely and relevant information on factors that may influence the vessel's transit and to assist on-board decision making. This may include:

* Position, identity, intention and movements of vessels;
* Maritime Safety Information;
* Limitations of vessels in the VTS area that may impose restrictions on the navigation of other vessels (e.g. manoeuvrability), or any other potential hindrances;
* Other information such as reporting formalities and ISPS details; and
* Support to, and cooperation with, Allied Services.

1. The monitoring and management of traffic to ensure the safety and efficiency of vessel movements. This may include:

* Forward planning and organising vessel movements;
* Organising the allocation of space;
* Forward planning of vessel movements;
* Establishing a system of traffic clearances or sailing plans, or both;
* Providing route advice; and
* Ensuring compliance with and enforcement of regulatory provisions for which they are empowered.

1. Responding to developing unsafe situations to assist the decision-making process on board. This may include:

* A vessel unsure of its route or position;
* A vessel deviating from the route;
* A vessel requiring guidance to an anchoring position;
* A vessel that has defects or deficiencies, such as navigation or manoeuvring equipment failure;
* Severe meteorological conditions (e.g. low visibility, strong winds);
* A vessel at risk of grounding, collision or allision; and
* Emergency response or support to emergency services.

**6 GENERAL PRINCIPLES**

6.1 Decisions concerning the navigation and the manoeuvring of the vessel remain with the master. Nothing in this Resolution changes the Master’s responsibility for all aspects of the operation of the vessel.

6.2 VTS communications and operational procedures should be timely, clear, concise and not open to misinterpretation.

6.3 VTS operates within a comprehensive environment in which ships, ports, allied services and other organisations fulfil their respective roles as appropriate. Effective data exchange and information sharing between participants is [are] fundamental to the overall operational efficiency and safety.

**7 IALA STANDARDS**

7.1 IALA provides international Standards, in accordance with relevant international obligations and recommendations, to ensure the harmonized implementation, development and operation of a VTS. The Standards are suitable for direct citation by Governments and are supported by associated Recommendations, Guidelines and Model Courses.

7.2 A VTS should conform to IALA Standards relating to VTS.

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| **Note**: Editorial checks to be completed:   * Confirm use/consistency of capitals for entities – e.g. VTS authority or VTS Authority * Confirm use and consistency of terms Contracting Governments / Competent authorities |

# Annex B - ‘Guiding Principles’ for drafting the Revised/New Resolution

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**Guiding Principles**

**Drafting the revised/new Resolution for VTS**

**Introduction**

The ‘*guiding principles’* provide the framework for drafting the revised/new resolution in a manner that will ensure the outcomes identified in the IMO document MSC 99/20/3 are achieved. That is:

*“The output is required for VTS to fulfil its role as a measurable and proactive instrument in the prevention of maritime incidents and accidents. This will be achieved by providing a clear and concise framework to implement and deliver VTS globally in a realistic, consistent and harmonized manner.”*

**Purpose of the Resolution**

The Resolution:

INVITES Governments to take account of the annexed Guidelines when developing, implementing and operating vessel traffic services;

RECOMMENDS Governments to encourage masters of ships navigating in areas for which vessel traffic services are provided to make use of such services.

**Guiding Principles**

The revised/new resolution should be prepared in a form that assists Contracting Governments and Competent Authorities to meet their obligations under SOLAS Chapter V (Safety of Navigation) Regulation 12 to plan, implement and deliver VTS in a consistent and harmonized manner.

In particular, the revised/new resolution should:

* + Provide an appropriate high-level framework that is both clear and concise,
  + Provide a link between SOLAS, the resolution, IMO documentation and requirements relevant to VTS and IALA Standards (as amended or as adopted).
  + Recognise:
    - The “key areas” identified in the IMO document MSC 99/20/3; and
    - The outcomes from the Intersessional Meeting of the IALA VTS Committee’s Working Group 1 (Operations) in April 2018.

**Evaluating Proposed Text**

As a guide, the following questions should be asked when considering content/proposed text for the revised/new Resolution:

* Is it clear and concise?
* Is the topic/issue already prescribed in, or is a cross reference required to, existing IMO and/or IALA documentation?
* Does it add value?
* Is it in conflict with other parts of the revised/new Resolution?

# Annex C - Work programme for completing the revision of resolution A.857(20)

| **Task** | **2018** | | | | **2019** | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **IM[[4]](#footnote-4)**  **(10-13 Apr 2018)** | **ICG[[5]](#footnote-5)** | **VTS45**  **(1-5 Oct 2018)** | **ICG** | **NCSR 6**  **(16-25 Jan)** | **VTS46**  **(25 Feb – 1 Mar 2019)** | **ICG** | **MSC101**  **(5-14 Jun 2019)** | **Seminar**  **(24-28 Jun 2019)** | **ICG** | **VTS47**  **(23-27 Sep 2019)** | **NCSR 7**  **(Jan/Feb 2020)** |
| IALA intersessional meeting to establishing a common understanding of the submission and the tasks required | X |  |  |  |  |  |  |  |  |  |  |  |
| Draft skeleton for revised/new Resolution |  | X | X |  |  |  |  |  |  |  |  |  |
| Draft Work Plan |  | X | X |  |  |  |  |  |  |  |  |  |
| Prepare proposal for a Workshop on the revision of A.857(20) for Council approval |  | X | X |  |  |  |  |  |  |  |  |  |
| **First draft** of revised/new Resolution |  |  | X |  |  |  |  |  |  |  |  |  |
| Information Paper/s to NCSR and MSC[[6]](#footnote-6)   * Status of the revision * Invitation to the workshop |  |  | X | X | X |  |  | X |  |  |  |  |
| **Second draft** of revised/new Resolution |  |  |  | X |  | X |  |  |  |  |  |  |
| **Workshop** with stakeholders to review the draft revision |  |  |  |  |  |  |  |  | X |  |  |  |
| **Final draft** of revised/new Resolution |  |  |  |  |  |  | X |  |  | X | X |  |
| Review by NCSR of final revised/new Resolution for approval by the Committee and subsequent adoption by the Assembly |  |  |  |  |  |  |  |  |  |  |  | X |

# Annex D - Participants of the IALA Correspondence Group (Revision of A.857(20))

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1. SOLAS Chapter V Regulation 12 (Vessel Traffic Services) [↑](#footnote-ref-1)
2. Refer to SOLAS Chapter V Regulation 11 (Ship Reporting Systems); Resolution A.851(20) General Principles for Ship Reporting Systems and Ship Reporting Requirements, including Guidelines for Reporting Incidents Involving Dangerous Goods, Harmful Substances and/or Marine Pollutants; and Resolution MSC.433(98) Guideline and Criteria for Ship Reporting Systems [↑](#footnote-ref-2)
3. Refer to SOLAS Chapter V Regulation 10 (Ships’ Routeing) and Resolution A.572(14) General Provisions on Ships’ Routeing) [↑](#footnote-ref-3)
4. IALA Intersessional Meeting of Working Group 1 of the VTS Committee [↑](#footnote-ref-4)
5. IALA Correspondence Group (ICG) for the revision of A.857(20) [↑](#footnote-ref-5)
6. Note submission end dates and need for Council approval:

   NCSR6 - submission deadline is 16 Oct. 2018

   MSC101 - submission deadline is 5 Mar (bulky), 2 Apr (INF-doc 1-6 pages) 2019

   NCSR7 - submission deadline will be 15 Oct 2019 [↑](#footnote-ref-6)