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**GUIDANCE NOTE ON THE PREPARATION OF PROPOSALS
ON SHIPS' ROUTEING SYSTEMS AND SHIP REPORTING
SYSTEMS FOR SUBMISSION TO THE SUB-COMMITTEE
ON SAFETY OF NAVIGATION**

1 The Maritime Safety Committee, at its seventy-sixth session (2 to 13 December 2002), with a view to ensuring the proper development, drafting, and submission of proposals for ships' routeing systems and ship reporting systems, approved a Guidance Note on the Preparation of Proposals on Ships' Routeing Systems and Ship Reporting Systems prepared by the Sub-Committee on Safety of Navigation at its forty-eight session, as set out in the annex. The attached annex also facilitates the assessment and approval of such proposals by the Sub-Committee on Safety of Navigation and final adoption by the Maritime Safety Committee.

2 Member Governments are invited to use the annexed Guidance Note when developing, drafting, and submitting ships' routeing and reporting system proposals and to bring the annexed Guidance Note to the attention of all parties concerned.

ANNEX

GUIDANCE NOTE ON THE PREPARATION OF PROPOSALS ON SHIPS' ROUTEING SYSTEMS AND SHIP REPORTING SYSTEMS FOR SUBMISSION TO THE SUB-COMMITTEE ON SAFETY OF NAVIGATION

INTRODUCTION

1 GENERAL

1.1 The purpose of this document is to provide information to Member Governments in the development, drafting, and submission of proposals to the International Maritime Organization (IMO) for ships' routeing systems and ship reporting systems. This document sets forth the issues that should be included in such proposals to facilitate their assessment and approval by the Sub-Committee on Safety of Navigation (NAV) and final adoption by the Maritime Safety Committee (MSC).

1.2 Ships' routeing systems and ship reporting systems can be established to improve safety of life at sea, safety and efficiency of navigation, and/or increase the protection of the marine environment. Proposals for a ships' routeing system or a ship reporting system submitted to NAV should be in accordance with the IMO rules and procedures for the submission of documents. After a proposal has been approved by NAV, NAV will forward the proposal to the MSC for final adoption. A new or amended IMO-adopted ships' routeing system or ship reporting system will not come into force earlier than six months after adoption or, if later than six months, on a date proposed by the proposing Member Government(s), after it has communicated such a date to IMO.

SHIPS' ROUTEING SYSTEMS

2 APPLICABLE REQUIREMENTS FOR SHIPS' ROUTEING SYSTEMS

2.1 Regulation 10 of chapter V of the International Convention for the Safety of Life at Sea (SOLAS), 1974, as amended, provides the authority for the adoption of ships' routeing systems by IMO. Ships' routeing systems adopted by IMO are recommended for use by, and may be made mandatory for, all ships, certain categories of ships, or ships carrying certain cargoes. The initiation of action to establish a routeing system is the responsibility of the Member Government or Governments concerned.

2.2 Part A of the IMO publication, *Ships' Routeing*, sets forth the General Provisions on Ships' Routeing (GPSR) (resolution A.572(14), as amended). These provisions delineate the details of establishing a ships' routeing system, including definitions of the types of systems available; the procedures and responsibilities of Member Governments and IMO; the planning of, and methods for, establishing a system; design criteria; use of the system; and representation of systems on charts. When developing a proposal, Member Governments should in particular consult the GPSR for the definition of the type of system desired, the method for establishing that particular type of system, and, if the system is a traffic separation scheme or a deep-water route, including the specific information pertaining to those types of systems.

2.3 In addition to the information in this document, Member Governments should also consult the latest versions of SOLAS chapter V, regulation 10 and the General Provisions on Ships' Routing, as amended.

3 ELEMENTS OF A PROPOSAL

3.1 Summary

The proposal should first set forth the objectives for submitting the routing system, the demonstrated need for its establishment, and the reasons why the proposed system is preferred. This should include any history of groundings, collisions, or damage to the marine environment. This summary should also state whether the system applies to all ships, certain categories of ships, or ships carrying certain cargoes. Additionally, the summary should set forth the proposed impact on navigation, including the expected impact on shipping.

3.2 Description of the Area

The proposal must contain the location of the proposed area, including the geographical positions; the number, edition, and geodetic datum of the reference chart used to delineate the routing system; and a chartlet on which the proposed routing system is marked. It is important that the geographical positions are thoroughly checked to ensure that they are correct. Member Governments must bring an appropriate full-scale nautical chart, with the routing system delineated on it, to the meeting of NAV at which the proposal is being considered.

3.3 Co-operation between States

Where two or more Governments have a common interest in a particular area, they should formulate a joint proposal for the routing system with integrated measures and procedures for co-operation between the jurisdictions of the proposing Governments. If any bilateral or multilateral agreements have been reached pertaining to the joint proposal, reference should be made to such agreements.

3.4 Traffic Considerations

3.4.1 Routes should follow as closely as possible existing patterns of traffic flow, course alterations along the route should be as few as possible, and convergence areas and route junctions should be kept to a minimum and should be as widely separated from each other as possible. Route junctions and convergence areas should not be placed where crossing traffic is expected to be heavy.

3.4.2 The proposed routing system should aim to provide safe passage for ships and thus the proposal should include the following information:

- .1 existing and proposed aids to navigation. Routes should be designed to allow optimum use of aids to navigation in the area. For traffic separation schemes, such aids to navigation should enable mariners to determine their position with sufficient accuracy to navigate in accordance with rule 10 of the 1972 Collision Regulations.

- .2 traffic patterns. Information should be provided to the extent possible on:
 - traffic patterns,
 - existing traffic management measures,
 - the volume or concentration of traffic,
 - vessel interactions,
 - distance offshore, and
 - type and quantity of substances on board (e.g., hazardous cargo, bunkers);
- .3 adequacy of the state of hydrographic surveys and nautical charts in the area of the proposed routeing system;
- .4 any alternative routeing measure, if necessary, for all ships, certain categories of ships, or ships carrying certain cargoes which may be excluded from using a routeing system or any part thereof; and
- .5 any drilling rigs, exploration platforms, and other offshore structures that may exist in the vicinity of the proposed routeing system. Member Governments should ensure, as far as practicable, that such structures are not established within the traffic lanes of routeing systems or near their terminations.

3.5 Marine Environmental Considerations

- .1 The proposal should contain information on environmental factors, such as the prevailing weather conditions, tidal streams, and currents, and the possibility of ice concentrations. Routeing systems should not be established in areas where the instability of the seabed is such that frequent changes in the alignment and positions of the main channels, and thus of the routeing system itself, are likely.
- .2 For proposals intended to protect the marine environment, the proposal should state whether the proposed routeing system can reasonably be expected to significantly prevent or reduce the risk of pollution or other damage to the marine environment of the area concerned. The proposal should also contain information on any limitations to the sea area available for navigation given the overall size of the area to be protected and the aggregate number of environmentally sensitive areas established within the area concerned.

3.6 Mandatory Routeing Systems

The proposal should clearly state whether the routeing system is being proposed as recommendatory or mandatory. In submitting a proposal for a mandatory system, the Government concerned must provide the following additional information:

- .1 Proper and sufficient justification for making the system mandatory;
- .2 Whether the ports and harbours of littoral States would be adversely affected by the system; and

- .3 Whether the mandatory routing system is limited to what is essential in the interest of safety of navigation and protection of the marine environment.

3.7 Position-fixing in relation to the routing system

Member Governments should submit information indicating the availability of position-fixing aids or services.

3.8 Miscellaneous Information

Member Governments should also consider submitting the following information:

- .1 presence of fishing grounds in the area of the proposed system, the existing activities and foreseeable development of offshore exploration and exploitation of the seabed, offshore structures, and foreseeable changes in the traffic pattern because of port or offshore terminal development;
- .2 a summary of other measures taken in the area of the proposed system;
- .3 any consultations that have taken place with mariners using the area, port authorities, or other groups with an interest in the area; and
- .4 in the case of a mandatory system, the details of the measures to be taken to monitor compliance with the system and the actions intended if a ship fails to comply with its requirements.

4 STANDARD FORMAT

4.1 Proposing Governments should refer to the appropriate section of the latest version of the GPSR for examples of the correct format for the description of the proposed routing measures. All proposals for routing measures should contain in an annex, the description of the proposed routing measure in accordance with the standard format used for the type of measure in the General Provisions for Ships' Routing.

SHIP REPORTING SYSTEMS

5 APPLICABLE REQUIREMENTS FOR SHIP REPORTING SYSTEMS

5.1 Regulation 11 of chapter V of the International Convention for the Safety of Life at Sea (SOLAS), 1974, as amended, provides the authority for the adoption of ship reporting systems by IMO. Resolution MSC.43(64), as amended by resolution MSC.111(73) - Guidelines and criteria for ship reporting systems should, in accordance with regulation V/11, be complied with by Contracting Governments when planning and proposing ship reporting systems to the Organization for adoption and implementation of such systems after adoption. Ship reporting systems so adopted will be mandatory for use by all ships, or certain categories of ships, or ships carrying certain cargoes. In addition to the information in this document, Contracting Governments should also consult the latest versions of SOLAS regulation V/11 and the Guidelines and criteria for ship reporting systems, as amended.

5.2 In addition to the adoption of mandatory ship reporting systems, the Organization may also review and recognize those ship reporting systems of a recommendatory nature and Contracting Governments are encouraged to submit such systems to the Organization in accordance with paragraph 11.4 of SOLAS regulation V/11. Such systems will be recommended by the Organization for voluntary use in international waters, if they comply as near as practicable with SOLAS regulation V/11 and these guidelines and criteria.

6 CRITERIA FOR PLANNING AND PROPOSING SHIP REPORTING SYSTEMS BY CONTRACTING GOVERNMENTS

6.1 It is the responsibility of the Contracting Government or Governments to plan and propose to the Organization and implement ship reporting systems including amendments to such systems.

6.2 General considerations for planning or amending ship reporting systems for adoption

6.2.1 A Contracting Government or Governments should establish the objectives and demonstrated need for the system. The Proposal should clearly define the area covered by the system. All information for effective utilization of such a system by mariners should be conveyed to the appropriate maritime Administrations and hydrographic authorities at least six months prior to the date of implementation.

6.2.2 The report required should be limited to information essential to achieve the objectives of the system. The initial report should be limited to the ship's name, call sign, IMO identification number, if applicable, and position. Other supplementary information may also be requested in the initial report if justified in the proposal as necessary to ensure the effective operation of the system. Such supplementary information may include, for example, the intended movement of the ship through the area, any operational defects or difficulties affecting the ship, and general categories of any hazardous cargoes on board. In the case of an emergency or threat to the marine environment, a request may be made that the precise details of any hazardous cargoes be provided as soon as possible.

6.2.3 In planning or revising a system, Contracting Governments should take account of such factors as:

- .1 hydrographical and meteorological elements, such as prevailing winds and currents, shifting shoals, local hazards, aids to navigation, and visibility;
- .2 the character of ship traffic, including the density of such traffic, conflicting navigation patterns, narrow fairways, areas where ships converge or cross, the record of maritime casualties, the categories of ships navigating in the area, interference by ship traffic with other marine-based activities, and ships carrying hazardous cargoes or types and quantities of bunker fuel;
- .3 environmental considerations;
- .4 equipment requirements, and methods of ship-to-shore communication and data processing so as to ensure reliability and clear communication between the shore-based authority and participating ships;

- .5 the shore-based facilities (including hardware and software) and the personnel qualifications and training required to support the operation of the proposed system; and
- .6 the procedural and communication interfaces of the system with other maritime safety or pollution response systems, including any adjacent ship reporting system.

6.2.4 In planning a system, a Contracting Government should consider whether the authority exists, or should be established, under domestic law to assess violations of any proposed requirements of a system.

6.3 Co-operation between States

Where two or more Governments have a common interest in a particular area, they should formulate a joint proposal for the ship reporting system with integrated measures and procedures for co-operation between the jurisdictions of the proposing Governments. If any bilateral or multilateral agreements have been reached pertaining to the joint proposal, reference should be made to such agreements.

7 PROPOSING A SHIP REPORTING SYSTEM TO THE ORGANIZATION FOR ADOPTION

Systems and amendments thereto should be proposed to the Organization for adoption. The proposal should include:

- .1 the objectives and demonstrated need for the proposed system;
- .2 categories of ships required to participate in the system;
- .3 relevant information pertaining to the hydrographical and meteorological elements, the characteristics of ship traffic and any environmental aspects of the area;
- .4 the geographical coverage of the proposed system and the number and edition of the reference chart used for the delineation of the system;
- .5 the format and content of the reports required, the times and geographical positions for submitting reports, the shore-based authority to whom these reports should be sent and, if any are to be provided, the available services;
- .6 the information to be provided to the participating ship and the procedures to be followed;
- .7 the proposed communication requirements for the system, including frequencies on which reports should be transmitted and information to be reported;
- .8 the relevant rules and regulations in force in the area of the proposed system;
- .9 the shore-based facilities (including hardware and software) and personnel qualifications and training required to support the operation of the proposed system;

- .10 a summary of the measures used to date, if any, and the reasons why these measures are considered to be inadequate;
- .11 information concerning the applicable procedures if the communication facilities of the shore-based authority fail;
- .12 a description, if appropriate, of any plans that have been prepared for responding to an emergency involving the safety of life at sea or threats to the marine environment;
- .13 details of the measures to be taken if a ship fails to comply with the requirements of the system; and
- .14 the proposed effective date of the system which should be as soon as practicable but not earlier than six months after adoption by the Organization.

8 STANDARD FORMAT

8.1 Proposing Governments should refer to Part G of the IMO publication “Ships Routing” for examples of the correct format for the description of the proposed ship reporting systems. The description of the proposed ship reporting system should be given in an annex to the submission for proposing a ship reporting system.
