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| REPORT from the CorResponDence Group (A.857 Revision) |
|  |
| 7 September 2018 |
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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:

* Coordinate feedback and comments on the report from the Intersessional Meeting in April from both participants and VTS Committee members who did not participate;
* Subject to the discussions and decisions which would take place at IMO MSC99, prepare a draft workshop proposal for IALA to host a workshop in 2019 to broaden the participation and engagement of all relevant stakeholders in the revision; and
* Provide an input paper to VTS45.

24 Committee members from 14 organisations, representing Competent Authorities, VTS Authorities, Sister Organisations and industrial members, participated in the Correspondence Group.

Focussing on the “key areas” identified in the IMO submission for a revision of the Resolution (MSC 99/20/3) and the outcomes from the Intersessional Meeting in April, the Correspondence Group embraced the expertise and experience of participants to complete its tasks in an efficient and timely manner. The outcomes from the Group provide valuable input for the VTS Committee’s consideration in preparing the revised /new Resolution for submission to NCSR in late 2019. This includes:

* Feedback and comments on the report from VTS Committee Members on the Intersessional Meeting in April.
* A draft work programme for completing the revision of resolution A.857(20).
* A draft proposal for a workshop on the revision of A.857(20) to:
  + Facilitate discussion and active engagement amongst stakeholders in preparing a draft revision of the Resolution for submission to the IMO
  + Provide the opportunity to broaden the participation and engagement in preparing a draft revision, particularly with IMO members who may not have been involved in the preparation of the IMO submission (MSC99/20/3).
  + Assist IALA finalise the draft revision for submission to NCSR 7 in January/February 2020.
* Guiding principles and draft skeleton to commence drafting the revised/new resolution in a manner that will ensure the outcomes identified in the IMO submission 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.”*

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**Report of the Correspondence Group (A.857 Revision)**

# Introduction

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.

The intersessional meeting was tasked to provide input to VTS45 on Task 1.4.2 of the 2014-2018 Work Programme on the revision of IMO Resolution A.857(20) Guidelines for VTS, including:

* Establishing a common understanding of the submission and the tasks required.
* Establishing a draft framework and draft work plan for completing the review.
* A preliminary structure/content for the new resolution A.857(20).

By focusing on the areas that contribute to broad interpretation, debate and concerns that VTS is not delivered globally in a consistent manner as highlighted in the submission to the IMO (MSC 99/20/3) the meeting successfully:

* Achieved a common understanding of the submission, and
* Reached consensus on the key issues and identified key considerations to be taken into account when drafting of the revised/new Resolution commences.

The meeting also concluded that a Correspondence Group be formed to:

* Coordinate feedback and comments on the report from the Intersessional Meeting in April from both participants and VTS Committee members who did not participate;
* Subject to the discussions and decisions which would take place at IMO MSC99, prepare a draft workshop proposal for IALA to host a workshop in 2019 to broaden the participation and engagement of all relevant stakeholders in the revision; and
* Provide an input paper to VTS45.

# Discussion

## Participants

24 Committee members from 14 organisations, representing Competent Authorities, VTS Authorities, Sister Organisations and industrial members, participated in the Correspondence Group. Significantly, this included approximately 50% of members who participated in the Intersessional Meeting at IALA HQ in April. This included:

|  |  |
| --- | --- |
| Australia | Australian Maritime Safety Authority |
| Belgium | Shipping Assistance Division |
| Finland | Finnish Transport Agency |
| IHMA | International Harbour Masters Association |
| Japan | Japan Coast Guard |
| Netherlands | 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 |
| Sweden | Swedish Transport Agency |
| UK | Vissim AS |
| USA | Maritime Institute of Technology and Graduate Studies |

Participants in the Group are listed at Annex D

## Meetings

The Correspondence Group met 7 times via teleconference as shown below. 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.

|  |  |
| --- | --- |
| **Meeting Number** | **Date** |
| 1 | 28 June |
| 2 | 12 July |
| 3 | 26 July |
| 4 | 09 August |
| 5 | 23 August |
| 6 | 30 August |
| 7 | 06 September |

## Outcomes

Outcomes from the Correspondence Group for the VTS Committee’s consideration include:

* Feedback and comments on the Intersessional Meeting held in April.
* A draft work programme for completing the revision of resolution A.857(20).
* A draft proposal for a workshop on the revision of A.857(20).
* Guiding principles and draft skeleton to commence drafting the revised/new resolution.

### **Feedback and comments on the Intersessional Meeting held in April**

The report from the April Meeting was circulated to all Committee members on 2 May 2018. No issues or concerns have been raised regarding the report and its contents. In summary, there is general agreement that the revision should:

* Provide a clear and concise framework to implement and deliver VTS globally in a realistic, consistent and harmonized manner.
* Be more “high level” and less prescriptive than the existing resolution.
* Have a greater focus on the legal basis for VTS and require regular evaluations of a VTS through audits and/or periodic assessments

Key words often used include: clarity, conciseness and flexibility.

### **Draft work programme for completing the revision of resolution A.857(20)**

Noting a draft Work Programme for completing the review of Resolution A.857(20) had not been completed at the Intersessional Meeting, the Correspondence Group prepared a draft Work Programme (Annex A).

Key components of the work programme include:

* Preparing a first draft of revised Resolution at VTS45 (October 2018)
* Hosting the proposed workshop (see 2.2.3) to:
  + Facilitate discussion and active engagement amongst stakeholders in preparing a draft revision of the Resolution for submission to the IMO
  + Provide the opportunity to broaden the participation and engagement in preparing a draft revision, particularly with IMO members who may not have been involved in the preparation of the IMO submission (MSC99/20/3).
* Providing input papers to NCSR 6 and MSC 101 on the status of the revision.
* Completing the revised Resolution and preparing the associated input paper to NCSR 7 at VTS47.

### **Draft proposal for a workshop on the revision of A.857(20)**

Noting it was agreed at the Intersessional Meeting that, subject to the discussions and decisions which will take place at IMO MSC99, a workshop should be organised to broaden the participation and engagement of all relevant stakeholders, the Correspondence Group prepared a draft proposal for a workshop (Annex B).

The purpose of the proposed workshop is to:

* Facilitate discussion and active engagement amongst stakeholders in preparing a draft revision of the Resolution for submission to the IMO
* Provide the opportunity to broaden the participation and engagement in preparing a draft revision, particularly with IMO members who may not have been involved in the preparation of the submission by IALA (MSC99/20/3).
* Assist IALA finalise the draft revision for submission to NCSR 7 in January/February 2020.

### **Guiding principles and draft skeleton to commence drafting the revised/new resolution.**

Noting the preparation of a preliminary structure/content for the new resolution A.857(20) was only partially completed at the Intersessional Meeting in April 2018, the Correspondence Group reviewed the output from the meeting and prepared guiding principles and a draft skeleton to commence drafting the revised/new resolution (Annex C).

The principles and draft skeleton were prepared in a manner to facilitate achieving the outcome identified in the IMO submission (MSC 99/20/3). 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.”*

# List of Annexes

|  |  |
| --- | --- |
| Annex A | Draft work programme for completing the revision of resolution A.857(20). |
| Annex B | Draft proposal for a workshop on the revision of A.857(20). |
| Annex C | Guiding principles and draft skeleton to commence drafting the revised/new resolution Draft structure/content for the new resolution A.857(20). |
| Annex D | Participants of the IALA Correspondence Group (Revision of A.857(20). |

# Annex A Draft work programme for completing the revision of resolution A.857(20).

|  | **Work Plan for the revised/new Resolution for Vessel Traffic Services** | | | | | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Task** | **IM[[1]](#footnote-1)**  **(10-13 Apr 2018)** | **ICG[[2]](#footnote-2)** | **VTS45**  **(1-5 Oct 2018)** | **ICG** | **NCSR 6**  **(Jan 2019)** | **VTS46**  **(Feb/Mar 2019)** | **ICG** | **MSC101**  **(5-14 Jun 2019)** | **Workshop**  **(TBC)** | **ICG** | **VTS47**  **(Sep/Oct 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[[3]](#footnote-3)   * 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 |  |
| Review by NCSR of final revised/new Resolution for approval by the Committee and subsequent adoption by the Assembly |  |  |  |  |  |  |  |  |  |  |  | X |

# Annex B Draft proposal for a workshop on the revision of A.857(20)

Input paper: [[4]](#footnote-4) VTS45-X.X.X

Input paper for the following Committee(s): check as appropriate Purpose of paper:

**□** ARM **□** ENG **□** PAP **X** Input

**□** ENAV **X** VTS **□** Information

Agenda item [[5]](#footnote-5) X.X

Technical Domain / Task Number 2 ???

Author(s) / Submitter(s) Correspondence Group – Revision of IMO Resolution A.857(20) Guidelines for Vessel Traffic Services

Workshop proposal

1. Background

During the 2014-2018 Work Programme the VTS Committee coordinated the preparation of a submission to the IMO for a revision of IMO Resolution A.857(20) *Guidelines for Vessel Traffic Services*. Sponsors of the submission included Australia, China, India, Norway, Republic of Korea, Singapore, South Africa, Turkey, IALA, IHMA, International Federation of Shipmasters' Associations, International Association of Institutes of Navigation and the Nautical Institute.

At the Intersessional Meeting of Working Group 1 of the IALA VTS Committee held at IALA Headquarters (10-13 April 2018) the Correspondence Group was formed to:

* Coordinate feedback and comments on the report from the meeting from both participants and VTS Committee members who did not participate in the intersessional meeting, and
* Provide an input paper to VTS45 collating the feedback/comments (Input Paper VTS45.X.X.X).

It was also agreed that, subject to the discussions and decisions which would subsequently take place at IMO MSC99 regarding the submission, a workshop should be organised to broaden the participation and engagement of all stakeholders.

The Maritime Safety Committee (MSC) approved the submission for a revision of resolution A.857(20) at its 99th meeting in May 2018. Discussion at MSC also highlighted the need to engage wider in developing a revised resolution, particularly with IMO members who may not have been involved in the preparation of the draft submission by IALA (MSC99/20/3).

1. Action requested of the Committee

The Committee is requested to consider the organisation of the proposed Workshop with view to forwarding it to Council for approval.

ANNEX 1 - PROPOSAL FOR A WORKSHOP ON THE REVISION OF IMO RESOLUTION A.857(20) GUIDELINES FOR VESSEL TRAFFIC SERVICES

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| **Vision** | **To ensure a clear and concise global framework for the delivery of vts.** |
| **Proposal** | To provide a Workshop to facilitate active engagement and participation by stakeholders in the revision of resolution a.857(20) |
| **Purpose(s)** | * To provide a Workshop to:   + Facilitate discussion and active engagement amongst stakeholders in preparing a draft revision of the Resolution for submission to the IMO   + Provide the opportunity to broaden the participation and engagement in preparing a draft revision, particularly with IMO members who may not have been involved in the preparation of the submission by IALA (MSC99/20/3). * To assist IALA finalise the draft revision for submission to NCSR 7 in January/February 2020. |
| **Goal(s)** | To establish a common understanding of the contents of the revision through broad engagement. |
| **Who** | The event will provide a forum for discussion between stakeholder groups. It is envisaged that invitations will be sent to:  IALA Members  IMO Members  Competent Authorities for VTS / VTS Authorities  VTS Stakeholders / Allied services  IMO  IHO  ITU  CIRM  Nautical Institute  International Chamber of Shipping  Intertanko / Intercargo  BIMCO  IMPA  IFSMA  IAPH  IHMA  Others |
| **Size of Group** | It is expected that the Workshop will attract a group of up to 100 persons. |
| **Where** | <To be determined> |
| **Duration** | Maximum 5 days |
| **When** | <To be determined – preferably between VTS46 and VTS47> |
| **Cost to Participants** | It is recommended that there be no Registration fee for participating in the Workshop |
| **Process** | Five Day Workshop  Day 1 – Introduction, Key note speech, working group presentations  Day 2-4 –Discussion / [Break-out groups]  Day 5 – Results of Discussion Groups presented / Presentation of draft revision. |
| **Steering Committee** | Proposed Steering Committee for the Workshop:  Chair of IALA VTS Committee  Vice Chair of IALA VTS Committee  Chair of WG1 and WG3 IALA VTS Committee  Vice Chair of WG1 and WG3 IALA VTS Committee  [Host Representatives]  IALA Technical Co-ordination Manager (Secretary) |

# Annex C Guiding principles and draft skeleton to commence drafting the revised/new resolution.

**Guiding principles for the revision of A.857(20):**

The skeleton provides the framework to commence drafting the revised/new resolution in a manner that will ensure the outcomes identified in the IMO submission 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 revised/new resolution should be prepared in a form 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 submission; and
    - The outcomes from the Intersessional Meeting of Working Group 1 (Operations) in April 2018.

As a guide, the following questions should be asked when reviewing text proposed 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?

**Draft Skeleton**

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| **ANNEX 1 - CRITERIA FOR OPERATING A VTS** |
| **1 SCOPE** |
| **2 DEFINITIONS AND CLARIFICATIONS**  Review and update pending revision |
| **3. GENERAL PRINCIPLES**  **3.1 International / Legal framework**  **3.2 Purpose of VTS**  **3.3 Responsibilities**  o Contracting Governments  o Competent Authorities for VTS  o VTS Providers  o Participating vessels  **3.4 General Considerations for VTS**  o Functions of a VTS  o Key topic areas such as Implementation, Operations, Information Management, Communications, Auditing and Assessing, Training and Assessment, Accreditation, Competency, Certification and Revalidation, Risk Management, and Quality Management.  **3.5 IALA Standards**  **3.6 Other applicable IMO references (e.g. SRS, etc.)** |

**1 SCOPE**

<To be developed>

**2 DEFINITIONS AND CLARIFICATIONS**

< To be reviewed and updated pending revised/new Resolution>

**3 GENERAL PRINCIPLES**

**3.1 International / Legal Framework**

3.1.1 Vessel traffic services are recognised internationally as a navigational safety measure through the International Convention on the Safety of Life at Sea (SOLAS), Chapter V (Safety of Navigation) Regulation 12.

3.1.2 Under the general provisions of treaty law and of IMO conventions, States 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 so as to ensure safety of life at sea and protection of the marine environment.

3.1.3 These Guidelines are associated with SOLAS, Chapter V (Safety of Navigation) Regulation 12 and describe the principles and general operational provisions for the operation of a VTS and participating vessels.

3.1.4 The use of VTS may only be made mandatory in sea areas within the territorial seas of a coastal State[[6]](#footnote-6).

Recognising VTS may also significantly 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, VTS may be established:

* In association with an IMO adopted Ship Reporting System[[7]](#footnote-7) or a Ship Routeing System[[8]](#footnote-8), or
* On a voluntary basis.

3.1.5 Contracting Governments should take account of these Guidelines when planning, implementing and operating vessel traffic services.

3.1.6 These Guidelines should also be used in conjunction with applicable IMO instruments and IALA Standards.

**3.2 Purpose of VTS**

3.2.1 The purpose of vessel traffic services is to improve the safety and efficiency of navigation, safety of life at sea and the protection of the marine environment and/or the adjacent shore area, worksites and offshore installations from possible adverse effects of maritime traffic in a given area.

3.2.2 The purpose of a VTS is achieved through the delivery of VTS functions.

**3.3 Responsibilities**

**Contracting Governments**

3.3.1 The Contracting Government should:

* + - 1. Promulgate laws and regulations to establish a legal basis for VTS that gives effect to international law and SOLAS Chapter V Regulation 12; and
      2. Appoint and authorise a Competent Authority for VTS.

**Competent Authority for VTS**

3.3.2 The Competent Authority should:

1. Establish a regulatory framework for establishing and operating VTS in accordance with relevant international conventions and IMO instruments, national law and IALA Standards;
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 is accredited and approved in accordance with IALA Standards;
4. Establish a compliance and enforcement framework with respect to violations of VTS regulatory requirements.

**VTS Provider**

3.3.3 The VTS Provider should:

1. Ensure the VTS conforms with national law and the requirements 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 information regarding the requirements and procedures of the VTS are promulgated in appropriate navigational publications.

**Participating Vessels**

3.3.4 Participating vessels in VTS areas should:

1. Provide reports or information required by the VTS;
2. Follow the advice provided by the VTS; and
3. Comply with instructions for the movement of the vessel given to the vessel by the VTS unless contradictory safety reasons exist which then should be reported to the sender.

**3.4 General Considerations for VTS**

**Functions of a VTS**

3.4.1 To achieve the purpose of Vessel Traffic Services, a VTS should manage the safe and efficient transit of vessels within the VTS Area and mitigate the development of unsafe situations. Functions of a VTS to achieve this include:

1. *Information -* The provision of timely and relevant information on factors that may influence the vessel's transit and to assist onboard decision making. This may include, but is not necessarily restricted to:

* The position, identity, intention and movements of vessels;
* Local warnings and restrictions;
* Meteorological and hydrological conditions, notices to mariners, status of aids to navigation;
* 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 Allied Services such as pilot allocation, pilot exemptions, berthing information, waste handling, fuel and water supply arrangements and customs and immigration requirements.

1. *Management –* The operational monitoring and management of traffic and the forward planning of vessel movements to ensure the safety and efficiency of vessel movements through separation of traffic in space, time and/or distance. Traffic management may include, but is not necessarily restricted to:

* Organisation of vessels with hazardous or polluting cargo that may affect the flow of other traffic;
* Vessels deviating from the VTS sailing/passage plan;
* Establishing a system of traffic clearances or sailing plans, or both;
* Organising the allocation of space;
* Incident response; and
* Compliance and enforcement.

1. *Safety* – The initiation of interaction and navigational assistance in response to developing unsafe situations to influence the decision-making process on board. This may include situations such as:

* A vessel unsure of its position or unable to determine its position;
* A vessel unsure of the route to its destination;
* 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 in risk of grounding;
* A vessel in risk of collision or allision; and
* Emergency response or support to emergency services.

**Key topic areas**

*<To be developed - such as Implementation, Operations, Information Management, Communications, Auditing and Assessing, Training and Assessment, Accreditation, Competency, Certification and Revalidation, Risk Management, and Quality Management.>*

**3.5 IALA Standards**

3.5.1 IALA has, through harmonized international cooperation developed Standards related to the implementation, development and operation of Vessel Traffic Services.

3.5.2 To ensure the harmonized implementation and provision of Vessel Traffic Services worldwide, Competent Authorities should implement the provisions of the IALA Standards and associated documentation[[9]](#footnote-9) (such as Recommendations, Guidelines, Manuals and Model Courses) applicable to VTS by:

* Giving effect in national legislation; and
* Establishing a framework for VTS Providers to demonstrate compliance.

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| **Note:**  IALA be requested to give consideration as to determining an appropriate mechanism to reference the Standards and their accessibility.  For example, SOLAS Ch5 Regulation 12 states – “*Contracting Governments planning and implementing VTS shall, wherever possible, follow the guidelines developed by the* ***Organization****\**” and refers to A.857(20) as a **footnote**. |

**3.6 Other applicable IMO references (e.g. SRS, etc.)**

*<To be developed>*

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

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1. IALA Intersessional Meeting of Working Group 1 of the VTS Committee [↑](#footnote-ref-1)
2. IALA Correspondence Group (ICG) for the revision of A.857(20) [↑](#footnote-ref-2)
3. Note submission end dates and need for Council approval:

   NCSR6 - submission deadline is 16 Oct. 2018

   MSC101 - submission deadline is XX 2019

   NCSR7 - submission deadline will be XX Oct 2019 [↑](#footnote-ref-3)
4. Input document number, to be assigned by the Committee Secretary [↑](#footnote-ref-4)
5. Leave open if uncertain [↑](#footnote-ref-5)
6. SOLAS Chapter V Regulation 12 (Vessel Traffic Services) [↑](#footnote-ref-6)
7. General Principles for Ship Reporting Systems and Ship Reporting Requirements - Resolution A.851(20) and Guideline and Criteria for Ship Reporting Systems - Resolution MSC.433(98) [↑](#footnote-ref-7)
8. General Provisions on Ships’ Routeing - Resolution A.572(14) [↑](#footnote-ref-8)
9. [e.g. web link such as http://www.iala-aism.org] [↑](#footnote-ref-9)