



European Maritime Safety Agency

## **Workshop Report**

### **Incident Report Working Group**

Held in Lisbon on  
8 June 2011

## Background

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### I. Introduction

The "Incident Report Working Group" (IRWG) was established by the SSN WG 12 with the objective to propose to the SSN group "an agreed XML messaging framework that should fulfil both technical and operational requirements" by October 2010. Its mandate and duration were extended up to SSN 16 (October 2011).

The meeting was opened and chaired by Mr. Yann Le Moan, senior project officer Unit C2 (EMSA) and was attended by delegations from: Bulgaria, **Denmark, Germany, Ireland, Italy, Latvia, Malta, the Netherlands, Norway, Poland, Sweden and the United Kingdom.**

Mr. Jean-Bernard Erhardt represented of the European Commission (DG MOVE).

The meeting agenda is attached as **Annex 1** and the list of participants is attached as **Annex 2**.

Note: the workshop documentation may be obtained from:

<http://www.emsa.europa.eu/documents/workshop-presentations-a-reports.html>

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## Workshop Programme

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### 1. Opening / Introduction (EMSA)

Mr. Yann Le Moan welcomed the participants, and underlined the main objectives of the meeting as follows:

- review the proposal for correcting **inconsistencies of the XMLRG** related to the Incident report (IR) messages and decide whether or not including them in the XML ref guide 2.06 (Agenda Item **III**)
- review the proposal for a **new incident report type for identifying possible polluters** (agenda item **IV**)
- draft the requirements for the **distribution of IR through XML** (agenda item **VIa**)
- propose a **new structure for the IR type "others"** ( agenda item **VIb**)
- complete the review and upgrade the **Incident report messages guidelines** (agenda item **V**),
- agree on **actions to improve and standardise the level of reporting** (agenda item **VII**)
- review the **new Incident report forms** (agenda item **VIII**)
- present a **new proposal for the upgrade of alerting functionalities through the central SSN GI** (agenda item **X**).
- agree a draft **work plan to introduce the IRWG proposals to the SSN 16.**

### 2. Approval of the agenda (IRWG 3/I)

The agenda (including some changes in the order of presentation as in Annex I) was approved.

### 3. Action plan (IRWG 3/II)

The chairman informed that no further meetings were planned and that the remaining work will be done by correspondence. An action plan for the meeting and for the preparation of the deliverables to SSN 16 was agreed by the group.

The main steps for finalising the deliverables are:

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Date	Action	Resp.
<b>24 June</b>	Draft revised version of documents	<b>EMSA</b>
<b>15 July</b>	Provide comments on existing documents and updated papers to EMSA	<b>IRWG</b>
<b>15 August</b>	Draft new consolidated version of the documents for SSN 16 to be delivered to the IRWG	<b>EMSA</b>
<b>9 September</b>	Draft final comments on the above	<b>IRWG</b>
<b>mid September</b>	Finalise the IRWG report to SSN 16.	<b>EMSA</b>

The IRWG **agreed** on the above time plan and requested EMSA to send the draft document to the IRWG (**Action 1**).

#### 4. Incident reports: solving existing inconsistencies (IRWG 3/III)

EMSA introduced the final document about the inconsistencies affecting the XML structure (annex A of the current XML reference guide) and those affecting the operational use of the IR (e.g. proposal to change the occurrence of various field from mandatory to optional). It was agreed at SSN 15 that the IRWG will assess if this proposal could be included in the XML ref guide 2.06.

**Italy** mentioned that due to contracting procedures they need 12-15 months for implementing these changes. EMSA received comments from **Cyprus** which estimates a need of few man days for implementing the proposed changes.

After further discussion, it was decided not to propose the inclusion of these changes in the draft XML ref guide 2.06.

The following follow-up actions were **agreed**:

- EMSA to send the XML ref guide 2.06 to the SSN group without including the proposal on how to solve the inconsistencies (**Action 2**).

- once the IRWG report is validated by the SSN group 16, EMSA will draft a version of the XML ref guide (V2.07) to include these inconsistencies related changes along with all the XML impacting proposals stemming from the IRWG proposals (Action 3).

#### 5. New incident report type for reporting possible polluters (SE, DE, NL proposal)(IRWG 3/IV)

**The Netherlands** introduced the concept and explained that this new IR would be employed for presumptive deliberate discharges (MARPOL infringements as described in art. 16-1(b) of the 2002/59/EC Directive). The POLREP would be used for reporting actual pollutions that may affect another MS.

**Italy** mentioned that they use the POLREP for all the pollution related matters and if there is new information related to a former sent POLREP, this message should be updated.

The group **agreed** that NL, SW, DE should send a common proposal by 15 July (**Action 4**)<sup>1</sup>.

## 6. Revision of the Incident Report forms (IRWG 3/VIII)

**Italy** presented the revised forms for all incident reports as agreed during the last IRWG. The SITREP form was introduced in detail because of the impact on the XML structure of the SITREP. Italy introduced detailed tables indicating the differences between their proposal and:

- the SITREP stemming from the IAM SAR manual (actually used for SSN SITREP) and
- the current XML structure.

The group thanked Italy for the effort and the quality of the work performed.

**Ireland** proposed to assess also the possibility to use the field foreseen in IMO resolution A 851(20) that could be useful in the IR forms. It was recognized that this resolution relates more to the incidents for ships carrying dangerous goods.

As the proposal introduced impacts the XML structure (see the further changes "nature" field in the SITREP as introduced in the inconsistencies solving proposal - IRWG 3/III -or the new attribute "GeographicalArea" proposed as an alternative indication of the latitude and longitude or the additional modification proposed to the occurrence of some attributes changed from mandatory to optional to better comply the technical and operational needs ), the group **agreed** to further comment by correspondence on the proposal from Italy (**Action 5a**) and Italy to provide a final version of the IR forms proposal by 15 July (**Action 5b**) in which it will be examined the differences between the current XML structure (taking also into account the inconsistencies solving proposal) and the proposed forms type "Polrep, L&F Containers and Waste as well as the final version of the "Others forms".

## 7. Revision of the Incident Report messages Guidelines (IRWG 3/V)

The revised IR guidelines were presented including comments from Sweden and the UK. EMSA underlined that the reference to Directive 2005/35 EC (in paragraph 5.2.1) requested by COM was still missing and should be added.

**Ireland** asked clarification about the paragraph 5.3.3 (Ships which have been refused access to ports of the Member States or which have been the subject of a report or notification by a Member State in accordance with Annex I-1 to Council Directive 95/21/EC of 19 June 1995 on Port State control of shipping). The group recognized that there is a need for clarifying this paragraph (**Action 6 for COM/EMSA**).

**Bulgaria** suggested to receive translated version of the revised guidelines once approved (**Action 7 for EMSA**).

The group **agreed** that the guidelines will focus on the current situation of SSN and will not anticipate the future evolution. **EMSA** will provide a final version of the guidelines by 15 August with the above small upgrades (**Action 8**)

## 8. Proposal for a new structure of the IR type "others" (IRWG 3/VIb)

EMSA introduced a proposal identifying the various type of incident reports "Others" in the XML incident notification. The main purpose is to improve the operational use of such reports by allowing the user/operator, reading the notification, to be aware of the type of incident report. The user/operator would then better assess the need for an eventual request for details.

In addition, a proposal for a unified request-response has been introduced for these incidents reports type "other".

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<sup>1</sup> NL informed after the meeting that it will be a bit later than 15 July

**Ireland** asked if, instead, an additional sub-type added under the type "other" could be used to identify specifically the incident report type instead of having 6 new XML types.

Several MSs questioned the use of the "result of inspection" incident report and if it could be associated with the initial incident report for which the originator MS asked for an inspection.

The group was informed that the forms and XML response for the new IR "reports from Ports/Pilots" and IR for "Ships which have failed to notify, or do not have, insurance certificates or financial guarantees" are still on hold due to scheduled discussions at COSS level.

The group agreed the following:

**Ireland** to make a proposal regarding the identification of sub-types within the unique Incident reports type "other" (**Action 9**);

**EMSA** to assess the possible solutions to link the feed-back on inspection with the original incident report which initiated the inspection (**Action 10**).

## 9. Distribution of Incident Reports through XML (IRWG 3/VIa)

The IRWG was tasked to draft a technical proposal for the distribution of incident reports through XML. EMSA asked several questions to the group to draft the business rules supporting the distribution through XML.

The main business requirements for the distribution via XML are:

- the distribution should be a mandatory part of the XML structure (users should always be able to choose Distribution Y/N);
- when introducing a new incident report to be distributed, a list of potential recipients should be loaded in each national application in order to select those on the planned route (the selection of recipients would remain under the responsibility of the MS sending the report);

IT has proposed that the best solution in order to select the recipients, should be the one which allow to calculate the distribution by SSN, according to business rules shared by MS, and based on a current position/next port. This option would allow Member States to have less impact on their application and reduce the workload and possible mistakes of MS operators.

- the full details should be sent through XML in order to allow for their distribution (allowing recipients to receive the whole set of data, reducing therefore their effort if obliged to query the system for details);
- users still receiving distributed IR by email will keep on receiving information as agreed in document SSN 15/3/1 Annex 3 (Improvement of the SSN incident report distribution tool);
- the current XML response structure should be used for providing the distributed IR to the national SSN application;
- whenever a distributed IR does not reach the selected recipient, the sender should receive a warning indicating which user has failed to receive the message;
- further needs were raised such as including the possibility to "delete", "update" or "provide feedback" (see action 10) for each IR.

**IE** proposed also to set up new queries for the IR. These should be based either on a timeframe (request for the IR sent for the ship X during last 12 months) or based on the last ones (request for the 5 last IR reported for the ship X).

Based on the above agreed business rules and proposals, EMSA will complete the documents presented and work on an XML proposal (**Action 11**).

### **10. New approach for alerting functionalities through SSN GI (IRWG 3/X)**

**EMSA** introduced a proposal for upgrading the SSN GI to support more user friendly IR notification and distribution. The proposal was based on the idea to pre-fill in available data (position, time stamp etc..) to initiate the report and to use the GI charts to support the distribution of the incidents reports.

**Ireland** raised concerns about the proposed upgrade of the SSN GI Web interface and opted for the promotion of the XML interface.

The group agreed not to promote further this proposal at this stage.

### **11. Actions to improve and standardize the level of Incident Reporting (IRWG 3/VII)**

This document was introduced at SSN 15 and the updated version proposed to:

- incorporate the topic of Incident Reports in future SSN trainings;
- collect regular feedback from MSs on the distributed IR;
- share success stories (the IR which were useful from an operational point of view);
- incorporate in future SSN workshops, once per year, an agenda item "Incident reports: best practices";
- propose regular exercises with Member States.

The group **agreed** the proposal to be part of the final document to be introduced at SSN 16.

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## **Workshop Conclusions / Follow-up Actions**

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The group **agreed** that EMSA will draft by mid-August a report for SSN 16 (**Action 12**). The structure of the report will be a cover paper listing the main outcomes of the group. The following annexes describing each delivery of the group as detail proposals:

- Revised IR guidelines.
  - Proposal for IR distribution through XML.
  - Proposal for identification of the types "Others".
  - Proposed actions to standardise and improve the IR.
  - Proposal for changes for solving the XML RG inconsistencies.
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- o Proposal for improving the distribution of IR through the SSN EIS web interface (already agreed at SSN 15)
- o A consolidated view of the changes in the XMLRG (XMLRG V 2.07) deriving from the above proposals.

Furthermore, the table below summarise the action points which were agreed:

Action point	Item	Task leader	Associated partners	Deadline
1	Provide a presentation with the time plan proposal and the draft agreed actions to the IRWG	EMSA		Done
2	Send the XML ref guide 2.06 to the SSN group without the inconsistencies solving proposal included.	EMSA		24 <sup>th</sup> June
3	Draft, after SSN 16, an XML reference guide 2.07 with all the XML related changes stemming from the IRWG proposals validated by the SSN group.	EMSA		End 2011
4	Send a proposal to the IRWG for the proposed "possible polluters" incident report.	NL, SW, DE		15 July
5a	Provide comments on the IR forms proposed by Italy	IRWG		7 July
5b	Provide a final version of the IR forms proposal.	IT		15 July
6	Provide clarification on the paragraph 5.3.3 of the IR guidelines	COM	EMSA	End June
7	Consider translating the IR guidelines	EMSA	All MSs	After SSN 16
8	Consolidate a final version of the IR Guidelines based on the current SSN implementation	EMSA		15 August
9	Make a proposal to distinguish several sub-types for the IR type "others" within the message instead of 6 different ones as introduced in IRWG 3/VIb.	IE		15 July
10	Assess the possible solutions to link the feed-back on inspection with the original incident report which initiate the inspection.	EMSA		15 August
11	Prepare an XML proposal based on discussed rules and proposals (XML distribution, new queries, update, delete) including action 9 above if possible	EMSA		15 August
12	Prepare the complete draft report of the IRWG for SSN 16	EMSA		15 August

## **Annexes**

Annex 1 - Workshop agenda

Annex 2 – List of participants

**Annex 1: Meeting AGENDA**

**DRAFT AGENDA (II)**  
**SSN INCIDENT REPORTS WORKING GROUP**  
**3rd Meeting**  
**Lisbon, 8 June (9:30 – 17:30)**

<b>Time</b>	<b>Item</b>	<b>Speaker</b>	<b>Remarks</b>
<b>09:00 – 09:30</b>	<b>I. Welcome and approval of the agenda</b>	EMSA/COM	Recall : - ToR of the Group - Working procedures - The documents submitted for the meeting
<b>09:30 – 09:45</b>	<b>II Approval of the Work Plan of the Group</b>	EMSA	Agreement on the specific topics and programme for the WG (meetings, deliverables, etc.)
<b>09:45 – 10:45</b>	<b>III Incident reports: solving existing inconsistencies</b>	UK/EMSA	Presentation of the proposals to remove inconsistencies in the Incident reports (Annex A of XML ref guide and in messages)
<b>10:45 – 11:00</b>	<b>Coffee break</b>		
<b>11:00 – 11:30</b>	<b>IV. Proposal for a new incident report to identify possible polluters</b>	SE, DE, NL	Article 16.1 of the Directive 2002/59/EC
<b>11:30 – 12:00</b>	<b>VIII. Revision IR forms</b>	IT and SE	
<b>12:00 – 12:30</b>	<b>V. Revision of the Incident Report messages Guidelines</b>	All	Revision of the current guidelines in order to: 1. propose a new guidelines. 2. Incorporate the new messages
<b>12:30 – 14:00</b>	<b>Lunch break</b>		
<b>14:00 – 14:30</b>	<b>V. Revision of the Incident Report messages Guidelines</b>	All	Revision of the current guidelines in order to: 1. propose a new guidelines. 2. Incorporate the new messages
<b>14:30 – 15:30</b>	<b>VIb. Proposal for IR type "Other", including an XML format.</b> <b>VIa. Incident Report distribution through XML</b>	All	Proposal to: b- Split IR type "Others" and propose an XML format for them a- distribute notifications via XML
<b>15:30 – 15:45</b>	<b>Coffee break</b>		



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<b>15:45 – 16:15</b>	<b>X New approach to alerting functionality in SSN</b>	EMSA	Proposal to send IR from SSN GI, taking advantage of the information got from that system.
<b>16:15 – 16:45</b>	<b>VII. Actions to improve and standardise the level of reporting for IR</b>	EMSA	As defined in the Tor, the purpose is to discuss on how to improve and standardise the level of reporting IR (Actins from EMSA, from the MSs, trainings...)
<b>16:45 – 17:30</b>	<b>Closure + Date and place of the next meeting</b>	Participants	Define: - the solutions agreed, - the actions remaining with the roadmap - the period for another meeting

Annex 2: List of participants



European Maritime Safety Agency

SSN Incident Reports Working Group - 3rd Meeting, 8th June 2011

Country	Name	First Name	Organisation	E-mail	Attendance on 08.06.11
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EMSA participants:

Helena Ramon-Jarraud, Yann Le Moan, German Sarasua, Lukasz Bibik and Enrico Gironella.