



Ref. T2-OSS/1.4

MSC.1/Circ.1307
9 June 2009

GUIDANCE ON THE SURVEY AND CERTIFICATION OF COMPLIANCE OF SHIPS WITH THE REQUIREMENT TO TRANSMIT LRIT INFORMATION

1 The Maritime Safety Committee (the Committee), at its eighty-sixth session (27 May to 5 June 2009), considered a number of issues which have arisen in relation to the survey and certification of ships following the issue of MSC.1/Circ.1296 on Guidance on the survey and certification of compliance of ships with the requirement to transmit LRIT information, and approved the Guidance on the survey and certification of compliance of ships with the requirement to transmit LRIT information (the Guidance) as set out in the annex.

2 The Guidance outlines a number of alternative options for documenting compliance of the shipborne equipment with the requirements of SOLAS regulations V/19-1.6 and V/19-1.7 and the related provisions of the Revised performance standards and functional requirements for the long-range identification and tracking of ships (Revised performance standards) adopted by resolution MSC.263(84) and sets out the approach to be taken when surveying and certifying the compliance of ships which are required to transmit LRIT information with the aforesaid obligation. The Guidance should be read together with SOLAS regulation V/19-1 and the Revised performance standards.

3 The Committee also agreed to keep the Guidance under review and amend it as and when the circumstances so warrant.

4 The Committee also decided that Conformance test reports issued prior to 15 December 2008 pursuant to the provisions of MSC.1/Circ.1257 and Conformance test reports issued prior to 1 July 2009 pursuant to the provisions of MSC.1/Circ.1296 should be accepted, subject to the conditions specified in paragraphs 7.2 and 7.3 of the annex to this circular in relation to the validity of Conformance test reports, as providing evidence of compliance equal to those specified in the annex to this circular until they are replaced. The Committee further agreed that such Conformance test reports should be replaced by Conformance test reports issued pursuant to the provisions of this circular when they are re-issued or updated on or after 1 July 2009.

5 SOLAS Contracting Governments are invited to bring the present circular and its annex to the attention of recognized organizations which they have authorized to act on their behalf and to provide to such recognized organizations any necessary further guidance and instruction so as to ensure that the objectives of this circular are achieved.

6 SOLAS Contracting Governments are also invited to bring the present circular and the salient parts of its annex to the attention of companies operating ships entitled to fly their flag which are required to transmit LRIT information and to provide to such companies any necessary further guidance and instruction so as to ensure that the objectives of this circular are achieved.

7 SOLAS Contracting Governments should communicate to the Organization as soon as possible the names and contact details of the Application Service Providers they have either recognized within the framework of the Revised performance standards or they have authorized to conduct conformance testing as set out in the attached Guidance, together with any conditions attached to such recognitions or authorizations and update the information as and when changes occur.

8 SOLAS Contracting Governments, international organizations and non-governmental organizations with consultative status are also invited to bring to the attention of the Committee, at the earliest opportunity, the results of the experience gained from the use of the Guidance for consideration of action to be taken.

9 This circular revokes MSC.1/Circ.1296 and any reference to MSC.1/Circ.1296 should be read as reference to the present circular.

ANNEX

GUIDANCE ON THE SURVEY AND CERTIFICATION OF COMPLIANCE OF SHIPS WITH THE REQUIREMENT TO TRANSMIT LRIT INFORMATION

1 Introduction

1.1 This note provides guidance to Contracting Governments in relation to the survey and certification of the compliance of ships, high-speed craft and mobile offshore drilling units entitled to fly their flag with the obligation to transmit LRIT information.

1.2 In addition, this note provides salient information which would enable companies operating ships, owners and operators of high-speed craft and owners and operators of mobile offshore drilling units which are required to comply with the obligation to transmit LRIT information to ensure the survey and certification of their compliance in a timely manner.

1.3 In relation to mobile offshore drilling units, the provisions of this note apply subject to the modifications set out in section 11.

2 Related documents

2.1 The provisions relating to the survey and certification of compliance of ships with the obligation to transmit LRIT information are set out in or governed by:

- .1 Regulation V/19-1 on long-range identification and tracking of ships;
- .2 Revised performance standards and functional requirements for the long-range identification and tracking of ships adopted by resolution MSC.263(84) (the Revised performance standards);
- .3 Resolution A.694(17) on Recommendations on general requirements for shipborne radio equipment forming part of the global maritime distress and safety system (GMDSS) and for electronic navigational aids;
- .4 Resolution A.813(19) on General requirements for electromagnetic compatibility of all electrical and electronic ship's equipment;
- .5 Resolution MSC.216(82) on Adoption of amendments to the International Convention for the Safety of Life at Sea, 1974, as amended, which sets out in annex 1 amendments (amendments 50 to 52) inserting in the Record of Equipment for the Passenger Ship Safety Certificate (Form P), the Record of Equipment for the Cargo Ship Safety Equipment Certificate (Form E) and the Record of Equipment for the Cargo Ship Safety Certificate (Form C) an entry to indicate compliance with Long-range identification and tracking systems;
- .6 Resolution MSC.221(82) on Adoption of amendments to the International Code of Safety for High-Speed Craft (1994 HSC Code) which sets out in the annex an amendment (amendment 9) inserting in the Record of Equipment for High-Speed Craft Safety Certificate an entry to indicate compliance with Long-range identification and tracking systems;

- .7 Resolution MSC.222(82) on Adoption of amendments to the International Code of Safety for High-Speed Craft, 2000, which sets out in the annex an amendment (amendment 148) inserting in the Record of Equipment for High-Speed Craft Safety Certificate an entry to indicate compliance with Long-range identification and tracking systems; and
- .8 Resolution MSC.227(82) on Adoption of amendments to the Protocol of 1988 relating to the International Convention for the Safety of Life at Sea, 1974, which sets out in the annex amendments (amendments 1 to 3) inserting in the Record of Equipment for the Passenger Ship Safety Certificate (Form P), the Record of Equipment for the Cargo Ship Safety Equipment Certificate (Form E) and the Record of Equipment for the Cargo Ship Safety Certificate (Form C) an entry to indicate compliance with Long-range identification and tracking systems.

3 Definitions

3.1 Unless indicated otherwise for the purposes of this note:

- .1 *Authorized testing ASP* means an Application Service Provider, other than a Recognized ASP, which has been authorized by the Administration to conduct conformance tests in accordance with this note and for which related information has been communicated to the Organization in accordance with the provisions of paragraph 6.2;
- .2 *Certificate* means the Passenger Ship Safety Certificate, Cargo Ship Safety Equipment Certificate and Cargo Ship Safety Certificate issued under the provisions of the Convention or the Protocol and High-Speed Craft Safety Certificate issued under the provisions of the International Code of Safety for High-Speed Craft or the International Code of Safety for High-Speed Craft, 2000;
- .3 *Chapter* means a chapter of the Convention;
- .4 *Contracting Government* means a Contracting Government to the Convention;
- .5 *Convention* means the International Convention for the Safety of Life at Sea, 1974, as amended;
- .6 *Protocol* means the Protocol of 1988 relating to the International Convention for the Safety of Life at Sea, 1974, as amended;
- .7 *Radio related certificate* means the Passenger Ship Safety Certificate, Cargo Ship Safety Radio Certificate and Cargo Ship Safety Certificate issued under the provisions of the Convention or the Protocol and High-Speed Craft Safety Certificate issued under the provisions of the International Code of Safety for High-Speed Craft or the International Code of Safety for High-Speed Craft, 2000;
- .8 *Record of Equipment* means the Record of Equipment for the Passenger Ship Safety Certificate (Form P), the Record of Equipment for the Cargo Ship Safety Equipment Certificate (Form E) and the Record of Equipment for the Cargo Ship Safety Certificate (Form C) issued under the provisions of the Convention or the

Protocol and the Record of Equipment for High-Speed Craft Safety Certificate issued under the provisions of the International Code of Safety for High-Speed Craft or the International Code of Safety for High-Speed Craft, 2000;

- .9 *Recognized ASP* means an Application Service Provider which has been recognized by the Contracting Government concerned pursuant to the provisions of paragraphs 5.1.1 and 5.1.2 of the Revised performance standards and for which related information has been communicated to the Organization in accordance with the provisions of paragraph 5.2 of the Revised performance standards;
- .10 *Regulation* means a regulation of the Convention (or of the Convention as modified by the Protocol, as in force between Contracting Governments which are also parties to the Protocol); and
- .11 *Ship* refers to ships, high-speed craft and mobile offshore drilling units which are required to comply with the provisions of regulation V/19-1.

3.2 Terms used in this note not otherwise defined have the meaning assigned to them in chapters I, IV and V or in the Revised performance standards.

4 Shipborne equipment to be of a type approved by the Administration

4.1 Regulation V/19-1.6 specifies that the shipboard equipment to be used to transmit LRIT information (shipborne equipment) shall be of a type approved by the Administration.

4.2 Compliance of the shipborne equipment with the requirements of regulations V/19-1.6 and V/19-1.7 and of section 4 of the Revised performance standards should be demonstrated by the equipment being:

- .1 of a type approved by the Administration in accordance with the provisions of regulation V/19-1; or
- .2 of a type approved by the Administration in accordance with the provisions of regulation IV/14 and satisfactorily completing a conformance test in accordance with the procedures and provisions set out in appendix 1; or
- .3 certified by the Administration as meeting the requirements of IEC 60945 (2002-08) and IEC 60945 Corr.1 (2008-04) on Maritime navigation and radiocommunication equipment and systems – General requirements – Methods of testing and required test results and satisfactorily completing a conformance test in accordance with the procedures and provisions set out in appendix 1; or
- .4 certified by the Administration as meeting the requirements of the provisions of regulation XI-2/6; and the provisions of either resolution MSC.136(76) on Performance standards for a ship security alert system or of resolution MSC.147(77) on Adoption of the Revised performance standards for a ship security alert system; and the provisions of section 4 of the Revised performance standards; and satisfactorily completing a conformance test in accordance with the procedures and provisions set out in appendix 1.

5 Conformance test

5.1 The conformance test should be conducted either by a recognized ASP or by an authorized testing ASP.

5.2 Subject to the provisions of paragraphs 5.2.1 and 5.2.2, the conformance test should be conducted using a communication system which provides coverage in all sea areas for which the ship is certified to operate.

5.2.1 Subject to the provisions of paragraphs 5.2 and 5.2.2, the results of the conformance test are not in any way prejudiced by the location or whereabouts of the ship when the conformance test is conducted.

5.2.2 Notwithstanding the provisions of paragraph 5.2, for ships constructed before 31 December 2008 and certified to operate in sea areas A1, A2, A3 and A4, the conformance test for sea area A4 may be conducted separately taking into account the provisions of regulation V/19-1.4.1.3.

5.3 For ships constructed on or after 31 December 2008, the conformance test should be:

- .1 conducted after the completion of the initial survey of the radio installation, provided such survey has indicated that, as far as the radio installation is concerned, the ship meets the related requirements for the issue of a radio related certificate; and
- .2 satisfactorily completed prior to the issue of a certificate as a result of satisfactory completion of the related initial survey.

5.4 For ships constructed before 31 December 2008, the conformance test should be:

- .1 conducted prior to the date on which a ship would need to demonstrate compliance with the requirements of regulation V/19-1; and
- .2 satisfactorily completed prior to the amendment of the record of equipment to document compliance with the requirements relating to Long-range identification and tracking system or prior to the issue of a certificate, in case the ship in question is undergoing a related renewal survey.

5.5 Administrations should establish, for ships constructed before 31 December 2008, dates, ahead of the dates stipulated in regulation V/19-1.4.1 for the phased in implementation of the requirement to transmit LRIT information, by which the conformance testing should be carried out with a view to ensuring the timely compliance of the ships entitled to fly their flag with the requirements of regulation V/19-1.

5.6 Notwithstanding the provisions of regulation V/19-1.4.1, ships the construction of which has commenced before 31 December 2008 but has been, or is to be, completed on or after 31 December 2008 should comply with the obligation to transmit LRIT information before they are put into service. For such ships the conformance test should be conducted and satisfactorily completed as specified in paragraph 5.3.

6 Communication of information in relation to Application Service Providers

6.1 Unless the Administration concerned informs the Organization otherwise, recognized ASPs should be automatically considered as being authorized by the Administration concerned to conduct conformance tests in accordance with the provisions of this note.

6.2 Administrations should provide to the Organization a list with the names and contact details of the authorized testing ASPs¹ together with any associated conditions of authorization and thereafter should, without undue delay, update the Organization as changes occur.

6.3 The Organization should communicate the information it receives pursuant to the provisions of paragraph 5.2 of the Revised performance standards and the information it receives pursuant to paragraphs 6.1 and 6.2 to all Contracting Governments, international organizations and non-governmental organizations with consultative status.

7 Conformance test report

7.1 A Conformance test report should be issued, on satisfactory completion of a conformance test, by the Administration or the ASP who conducted the test acting on behalf of the Administration and should be in accordance with the model set out in appendix 2.

7.2 The Conformance test report should be considered as no longer remaining valid if:

- .1 there is a change in the shipborne equipment used to transmit LRIT information;
- .2 the ship is transferred to the flag of another Contracting Government, subject to the provisions of paragraph 10.1;
- .3 the ASP which has issued the Conformance test report has notified the Administration or the Recognized Organization which, acting on behalf of the Administration, has issued the certificate is no longer in a position to attest the validity of the report; and
- .4 the Administration has withdrawn the recognition or authorization of the ASP which conducted the conformance test. However, in such cases the Administration concerned may decide that the Conformance test report, issued either prior to the date of withdrawal of such recognition or authorization or prior to a date determined by the Administration, remain valid subject to these being considered as being the responsibility of Administration.

7.3 Notwithstanding the provisions of regulations I/11 and V/16, the Conformance test report should also be considered as no longer remaining valid when the shipborne equipment used to transmit LRIT information becomes unserviceable.

7.4 Administrations choosing to use the services of authorized testing ASPs should ensure that the recognized ASP(s) are able to integrate into the LRIT system the ships to which an authorized testing ASP has issued Conformance test reports.

¹ A model letter for communicating the relevant information to the Organization is provided in MSC.1/Circ.1298 on Guidance on the implementation of the LRIT system.

8 Initial certification of compliance on or after 31 December 2008

8.1 The conformance test has been designed also to demonstrate compliance of the shipborne equipment with the functional requirements of V/19-1.5 and section 4 of the Revised performance standards.

8.2 For ships constructed on or after 31 December 2008, prior to the issue of a certificate, the shipborne equipment should satisfactorily complete a conformance test in accordance with the procedures and provisions set out in appendix 1 within the periods specified in paragraph 5.3.

8.3 Subject to the provisions of paragraph 5.6, for ships constructed before 31 December 2008, prior to the amendment of the record of equipment associated with a valid certificate or the renewal of a certificate in case it is also due, the shipborne equipment should satisfactorily complete a conformance test in accordance with the procedures and provisions set out in appendix 1 within the period specified in paragraph 5.4 and the survey of the radio installation has indicated that, as far as the radio installation is concerned, the ship meets the related requirements for the renewal or endorsement of the radio related certificate.

8.4 Notwithstanding paragraphs 8.2 and 8.3, shipborne equipment which has already satisfactorily completed a conformance test for the purposes of demonstrating compliance with the requirement to be of a type approved by the Administration (refer to paragraphs 4.2.2 to 4.2.4) are not required to undergo any further conformance test (i.e. the conformance test is required to be carried out only once), provided such tests have been conducted within the periods specified in paragraphs 5.3 or 5.4, as the case may be, taking into account the provisions of paragraph 5.6.

8.5 Notwithstanding paragraphs 8.2 and 8.3, shipborne equipment of a type approved by the Administration (refer to paragraph 4.2.1) should undergo conformance test within the periods specified in paragraphs 5.3 or 5.4, as the case may be, taking into account the provisions of paragraph 5.6 (i.e. shipborne equipment of a type approved by the Administration are required to undergo conformance testing).

8.6 In relation to cargo ships, the provision of the Convention and of the Protocol stipulated as a results of the amendments adopted by resolutions MSC.216(82) and MSC.227(82) that compliance with the obligation to transmit LRIT information should be attested by completing the entry provided in section 3 of the Record of Equipment for the Cargo Ship Safety Equipment Certificate (Form E) or section 5 of the Record of Equipment for the Cargo Ship Safety Certificate (Form C) and thus the relevant certificates are the Cargo Ship Safety Equipment Certificate and Cargo Ship Safety Certificate.

8.6.1 As a result, any amendment of the Cargo Ship Safety Radio Certificate or of the Record of Equipment for the Cargo Ship Safety Radio Certificate (Form R) or any amendment of the Cargo Ship Safety Certificate or of the Record of Equipment for the Cargo Ship Safety Certificate (Form C), other than the one specified in paragraph 8.6 in relation to Long-range identification and tracking systems, does not attest compliance of the ship concerned with the obligation to transmit LRIT information.

9 Renewal and annual survey after the initial certification of compliance

9.1 During any renewal or annual survey following the initial certification of compliance of a ship with the requirements of regulation V/19-1, the related certificate should be issued or endorsed, as the case may be, provided the Conformance test report is still valid taking into account the provisions of paragraphs 7.2 and 7.3.

10 Transfer of flag

10.1 When a ship is transferred to the flag of another Contracting Government, the Conformance test report should be considered as remaining valid if the ASP which conducted the conformance test is also either a recognized ASP or an authorized testing ASP by the Contracting Government to whose flag the ship is transferred.

10.1.1 In such cases the ASP concerned should reissue the Conformance test report on behalf of the Administration concerned henceforth indicating the new particulars of the ship but without altering the date of completion of the conformance test.

10.2 In cases where the Conformance test report is deemed to be no longer valid, due to the transfer of the flag to another Contracting Government, a new conformance test should be conducted, prior to the issue of a certificate, by either a recognized ASP or an authorized testing ASP acting on behalf of the Administration concerned.

11 Specific provisions in relation to mobile offshore drilling units

11.1 Mobile offshore drilling units may be required by the Contracting Government whose flag they may be entitled to fly to comply with the provisions of the:

- .1 national codes or requirements for the construction and equipment of mobile offshore drilling units, in case they were constructed prior 31 December 1981; or
- .2 Code for the construction and equipment of mobile offshore drilling units adopted by resolution A.414(XI) (the 1979 MODU Code); or
- .3 Code for the construction and equipment of mobile offshore drilling units, 1989 adopted by resolution A.649(16) (the 1989 MODU Code) in case their keel was laid or was at a similar state of construction on or after 1 May 1991.

11.2 The provisions of this note should apply *mutatis mutandis* to mobile offshore drilling units subject to any reference to certificate and radio related certificate in this note being read as referring:

- .1 for mobile offshore drilling units constructed on or after 31 December 2008, to the Mobile Offshore Drilling Unit Safety Certificate, 1989 issued pursuant to the provisions of the 1989 MODU Code; and
- .2 for mobile offshore drilling units constructed before 31 December 2008, to either the Mobile Offshore Drilling Unit Safety Certificate issued pursuant to the provisions of the 1979 MODU Code or the Mobile Offshore Drilling Unit Safety Certificate, 1989, issued pursuant to the provisions of the 1989 MODU Code or a certificate or document issued under a national code or requirements in case of units constructed prior to 31 December 1981, as the case may be.

11.3 As the Mobile Offshore Drilling Unit Safety Certificate and the Mobile Offshore Drilling Unit Safety Certificate, 1989 are not accompanied by a record of equipment, mobile offshore drilling units should be considered as meeting the requirements when:

- .1 the provisions of sections 4, 5 and 8 are met;
- .2 there is on board a valid certificate or document issued under a national code or requirements in case of units constructed prior to 31 December 1981, or a valid Mobile Offshore Drilling Unit Safety Certificate or a valid Mobile Offshore Drilling Unit Safety Certificate, 1989; and
- .3 there is on board a valid Conformance test report.

12 Cargo ships of gross tonnage of 300 and above but of less than 500

12.1 Cargo ships whose gross tonnage is 300 and above but of less than 500 are not required to hold a valid Cargo Ship Safety Equipment Certificate and thus there is no Record of Equipment for the Cargo Ship Safety Equipment Certificate (Form E) which could be endorsed so as to attest their compliance with the obligation to transmit LRIT information.

12.2 The compliance of the aforesaid cargo ships with the obligation to transmit LRIT information should be documented:

- .1 in case they are issued with a Cargo Ship Safety Certificate, by completing the relevant entry in section 5 of the Record of Equipment for the Cargo Ship Safety Certificate (Form C) and having on board a valid Conformance test report; or
- .2 in case they are not issued with a Cargo Ship Safety Certificate, by having on board a valid Conformance test report.

12.3 Neither the Cargo Ship Safety Radio Certificate nor the Record of Equipment for the Cargo Ship Safety Radio Certificate (Form R) should be amended in any way to document their compliance with the obligation to transmit LRIT information as any such amendment does not attest compliance of the ship concerned with the obligation to transmit LRIT information.

13 Units and ships addressed by MSC.1/Circ.1295

13.1 The provisions of this note should apply *mutatis mutandis* to floating production, storage and offloading units (FPSOs) and floating storage units (FSUs) propelled by mechanical means; offshore supply vessels; special purposes ships and A.494(XII)-ships (collectively referred to henceforth as “1295 units and ships”) referred to in MSC.1/Circ.1295 on Guidance in relation to certain types of ships which are required to transmit LRIT information, on exemptions and equivalents and certain operational matters (the Guidance).

13.2 In the cases where the Guidance states that the 1295 units and ships transmit LRIT information in accordance with the provisions of regulation V/19-1 as from 31 December 2009, the conformance test should be satisfactorily completed and a Conformance test report should be issued no later than 31 December 2009.

14 First survey of the radio installation

14.1 Regulations V/19-1.4.1.2 and V/19-1.4.1.3 refers to the first survey of the radio installation after 31 December 2008 and after 1 July 2009, respectively.

14.2 Unless the Administration concerned has, taking into account the provisions of MSC.1/Circ.1290 on Unified interpretation of the term “first survey” referred to in SOLAS regulations, specifies otherwise, the first survey of the radio installation is for ships entitled to fly the flag of:

- .1 Contracting Governments, is the first periodical survey of the radio installation in accordance with the provisions of regulation I/9 of the Convention; and
- .2 Contracting Governments which are also State Parties to the Protocol, is the first renewal survey or the first periodical survey of the radio installation, which ever of the two becomes due first, in accordance with the provision of regulation I/9 of the Convention as modified by the Protocol (i.e. in accordance with regulations I/9(a)(ii) and I/9(a)(iii) respectively).

14.3 For the purposes of implementation of the provisions of regulations V/19-1.4.1.2 and V/19-1.4.1.3, the date of the “first survey” specified under paragraph 14.2 is not altered as a result of either surveys conducted in relation to the transfer of the flag of the ships or as a consequence of any scheduled or unscheduled inspections or surveys or any additional or occasional surveys required by the Administration.

15 Difficulties in conducting conformance testing

15.1 Those who have engaged in conformance testing have advised that they have encountered difficulties when attempting to conduct conformance testing in certain parts of the world or in certain situations.

15.2 Administrations are advised that in such circumstances the inability to complete the conformance testing should not be considered as making the ship unseaworthy or as a reason for delaying the ship in port until the conformance testing is satisfactorily completed, provided suitable arrangements are made, to the satisfaction of the Administration concerned as soon as is practically possible.

15.3 Administrations are urged to report to the Organization the areas where, and/or the circumstances under which, conformance testing cannot be conducted as these have an impact on the functioning of the LRIT system.

Appendix 1

Conformance Test

1 Shipborne equipment requirements testing matrix

1.1 The table set out below has been derived from an analysis of the salient provisions of regulation V/19-1, the Revised Performance standards and the Technical specifications for communications within the LRIT system and specifies for each regulatory requirement the conformance test to be conducted.

Table 1

Shipborne equipment regulatory requirements testing matrix

| <i>Column heading</i> | <i>Explanation</i> |
|-----------------------|--|
| Ref. | Regulatory reference |
| Regulatory text | The text of the related provision with minor paraphrasing and <i>emphasis</i> (showing in italics) |
| CTN | Conformance test number |

| <i>Symbols</i> | <i>Explanation</i> |
|----------------|---|
| R | Paragraph of the related provisions of regulation V/19-1 |
| PS | Paragraph of the related provision of the Revised Performance standards |
| TS | Paragraph of the related provision of the Technical specifications for communications within the LRIT system (refer to MSC.1/Circ.1259 on Revised interim technical specifications for the LRIT system) |
| EL | Shipborne equipment lifecycle, i.e. requirements not explicitly defined in the regulatory text but critical to the successful operation of the LRIT system |

| Ref. | Regulatory text | CTN |
|--------------------------|--|------------|
| R:4.1.1 to R:4.1.3 | Ships shall be fitted with a system to automatically transmit the information specified in regulation V/19-1.5 as follows: ... ships constructed before 31 December 2008 and <i>certified for operations</i> in sea areas A1 to A4 | 1 |
| PS:4.3 | The equipment should transmit the LRIT information using a communication system which <i>provides coverage</i> where the ship operates | 1 |
| R:5 | Ships shall <i>automatically</i> transmit the following long-range identification and tracking information | 2 |
| R:5.1 | The <i>identity</i> of the ship | 3 |
| PS:4.2 (Table 1) | The equipment should transmit <i>the shipborne equipment identifier ...</i> | 3 |

| Ref. | Regulatory text | CTN |
|------------------|--|-----|
| R:5.2 | The <i>position</i> of the ship (latitude and longitude) | 4a |
| PS:4.2 (Table 1) | Position – the equipment should be capable of transmitting the GNSS position (latitude and longitude), based upon <u>WGS84</u> datum, without human interaction on board the ship | 4b |
| R:5.3 | The <i>date and time of the position</i> provided | 5a |
| PS:4.2(Table 1) | Date and time – the equipment should be capable of transmitting the date and time associated with the GNSS position with each transmission of LRIT information, and the time should be in <u>UTC</u> | 5b |
| TS:2.2.2.6 | The parameters provided by the equipment include: the latitude; longitude; <u>Time Stamp when the position was generated</u> ... | 5c |
| TS: Table 2 | The parameters provided by the equipment include: the latitude; longitude; <u>Time Stamp when the position was generated</u> ... | 5c |
| R:6 | Systems and equipment used to meet the requirements of regulation V/19-1 shall conform to the performance standards and functional requirements not inferior to those adopted by the Organization. Any shipboard equipment should be of a <u>type approved</u> by the Administration | 6 |
| R:7 | Systems and equipments used to meet the requirements of this regulation shall be capable of being <u>switched off on board or be capable of ceasing the distribution</u> | 7 |
| PS:4.1 | <u>In addition to the general requirements contained in resolution A.694(17)</u> on Recommendations on general requirements for shipborne radio equipment for part of the global maritime distress and safety system (GMDSS) | 8 |
| PS:4.1.5 | <u>Be tested for electromagnetic compatibility</u> taking into account the recommendations developed by the Organization (refer to Assembly resolution A.813(19) on General requirements for electromagnetic compatibility of all electrical and electronic ship's equipment) | 8 |
| PS:4.2 (Table 1) | Pre-scheduled position reports – the equipment should be capable of being remotely configured to transmit LRIT information at intervals ranging from a <u>minimum of 15 min</u> to periods of 6 h to the LRIT Data Centre, irrespective of where the ship is located and without human interaction on board the ship | 9a |
| PS:4.1.2 | Be capable of <u>being configured remotely</u> to transmit LRIT information at variable intervals | 9b |
| TS:2.2.3.12 | The “Request Type” parameter indicates whether the request is for either a one-time poll, ... <u>polls at a specified rate</u> ... | 9b |
| PS:4.1.1 | Be capable of automatically and without human intervention on board the ship transmit the ship's LRIT information at <u>6-hour intervals</u> to an LRIT Data Centre | 9c |

| Ref. | Regulatory text | CTN |
|------------------|---|-----|
| PS:4.4.1 | When a ship is undergoing repairs in dry-dock or in port or is laid up for a long period, the master or the Administration may reduce the frequency of the transmission of LRIT information to <u>one report every 24-hour period</u> ... | 9d |
| PS:13.1 | LRIT information should be available to an LRIT Data User <u>within 15 min</u> of the time it is transmitted by the ship. In lieu for the purposes of testing to an ASP | 9e |
| PS:4.1.3 | Be capable of <u>transmitting LRIT information following receipt of polling commands</u> ... | 10 |
| PS:4.2 (Table 1) | On-demand position reports – the equipment should be capable of <u>responding to a request to transmit LRIT information</u> on demand without human interaction on board the ship, irrespective of where the ship is located | 10 |
| PS:13.2 | On-demand LRIT information reports should be provided to an LRIT Data User <u>within 30 min</u> of the time the LRIT Data User requested the information. In lieu for the purposes of testing to an ASP | 10 |
| PS:4.1.4 | Interface <u>directly</u> to the shipborne global navigation satellite system equipment, or have <u>internal</u> positioning capability | 11 |
| PS:4.1.5 | Be <u>supplied with energy from the main and emergency source of electrical power</u> | 12 |
| PS:4.4 | The equipment should be set to automatically transmit the ship's LRIT information at 6-hour intervals <u>to the LRIT Data Centre identified by the Administration</u> ... | 13 |
| PS:5.3.1 | An ASP function should, <i>inter alia</i> , provide a communication protocol interface between the <u>Communication Service Providers and the LRIT Data Centre</u> ... | 13 |
| PS:5.3.1 | An ASP function should, <i>inter alia</i> , ensure that LRIT information is <u>collected, stored and routed in a reliable and secure manner</u> ... | 13 |

2 Shipborne equipment test requirements, procedures and acceptance criteria matrix

2.1 The table set out below specifies the shipborne equipment test requirements, the related procedures and the corresponding acceptance criteria for each conformance test and provides a brief citation of the related regulatory provisions.

Table 2

Shipborne equipment test requirements, procedures and acceptance criteria

| CTN | Test requirement Procedure | Acceptance criteria |
|------------|---|--|
| EL1 | The equipment is activated into the ASP system ASP issuance of an activation command (Note: this function is critical during the transfer of flag process) | CSP acknowledgement received |
| 1 | Establish the sea areas the ship is certified to operate from the Cargo Ship Safety Radio Certificate, Cargo Ship Safety Certificate, Passenger Ship Safety Certificate or equivalent Administrative | Confirmed by shipowner declaration on testing registration form prior to testing including certificate type and reference number |
| 2 | The equipment automatically transmits an LRIT information Evaluative | Validated in conjunction with CTN 9 |
| 3 | The equipment identity is present in the received LRIT information Evaluative | Validated in conjunction with CTN 9 |
| 4a | The latitude and longitude is present in the received LRIT information Evaluative | Validated in conjunction with CTN 9 |
| 4b | The equipment GNSS position information is based upon the WGS84 datum Evaluative | Assumed compliant in accordance with standard IMO guidelines and regulations |
| 5a | The date and time is present in the received LRIT information Evaluative | Validated in conjunction with CTN 9 |
| 5b | The equipment date and time information is in UTC Evaluative | Confirmed by the ASP recognized by the Administration or approved to conduct conformance testing based upon the confirmed inclusion of MEM code 11 (in the case of Inmarsat-C) and in the case of alternate hardware the compliance of the received message structure with the equipment manufacturers published standard for a message containing the generated Date and Time stamp |

| CTN | Test requirement | Acceptance criteria |
|-----|---|--|
| | Procedure | |
| 5c | The equipment transmits a Time Stamp relative to when the position was generated (not the CSP receipt time) Evaluative | Confirmed by the ASP recognized by the Administration or approved to conduct conformance testing based upon the confirmed inclusion of MEM code 11 (in the case of Inmarsat-C) and in the case of alternate hardware the compliance of the received message structure with the equipment manufacturers published standard for a message containing the generated Date and Time stamp |
| 6 | The equipment is of a type approved by the Administration Administrative | Forms the subject of this test specification which will be if the results are satisfactory and a Statement of conformity is issued by the ASP conducting the test (and the subsequent issuance of a Certificate of compliance by the Administration) |
| 7 | The equipment is switched off on board or ceases the distribution of LRIT information ASP outbound Program-Stop command | CSP acknowledgement received and nil LRIT information are transmitted within 90 min |
| 8 | The equipment is compliant with provisions of resolution A.694(17) The equipment has been tested for electromagnetic compatibility (refer to resolution A.813(19)) Administrative | Confirmed by manufacturer or validation of technical specification |
| 9a | The equipment is re-configured to automatically transmit LRIT information at 15-min intervals ASP issuance of Start-15 min reporting command | Confirmed subsequent to receipt of 48 consecutive 15-min automatic transmissions of LRIT information. Refer to paragraph 3.2 for information on acceptable tolerances. |
| 9b | The equipment is re-configured to automatically transmit LRIT information at 60-min intervals demonstrating that a change in transmitting interval has been successfully achieved ASP issuance of Start-60 min reporting command | Confirmed subsequent to receipt of 12 consecutive 60-min automatic transmissions of LRIT information. Refer to paragraph 3.2 for information on acceptable tolerances. |
| 9c | The equipment automatically transmits a LRIT information at 6-h intervals Administrative | Confirmed by ASP or manufacturer or validation of the technical specification |
| 9d | The equipment is re-configured to automatically transmit LRIT information at 24 h intervals Administrative | Confirmed by ASP or manufacturer or validation of technical specification |

| CTN | Test requirement Procedure | Acceptance criteria |
|-----|---|--|
| 9e | <p>LRIT information is available within 15 min of the time it is transmitted by the ship</p> <hr/> <p>Comparison of the UTC time stamp when the LRIT information was generated against the UTC time stamp when the information was received by the ASP</p> | Validated in conjunction with CTN 9a and 9b |
| 10 | <p>The equipment transmits LRIT information (subsequent to the ASP issuing a poll command) and the LRIT information is available within 30 min of the time the ASP has requested the information</p> <hr/> <p>ASP issuance of a Send-Request for Position command</p> | Confirmed subsequent to receipt of 1 polled transmission of LRIT information within 30 min |
| 11 | <p>The equipment interfaces directly to the shipborne global navigation satellite system equipment, or has internal positioning capability</p> <hr/> <p>Administrative</p> | Confirmed by ASP or manufacturer or by validation of technical specification if internal GPS, or if external GPS confirmed by shipowner declaration on testing registration form prior to testing |
| 12 | <p>The equipment is supplied with energy from the main and emergency source of electrical power (this provision does not apply to Inmarsat-C)</p> <hr/> <p>Administrative</p> | Confirmed by shipowner declaration on testing registration form prior to testing |
| 13 | <p>The equipment automatically transmits LRIT information via the CSP to the ASP in a reliable and secure manner</p> <hr/> <p>Administrative</p> | Confirmed by the ASP recognized by the Administration or approved to conduct conformance testing based upon confirmation that all communication links from the terminal – satellite – CSP –ASP are direct and secure with no third party ASP involvement |
| EL2 | <p>The equipment is de-activated and released from the LRIT system</p> <hr/> <p>ASP issuance of deactivation command or Administrative (Note: this function is critical during the transfer of flag process)</p> | CSP acknowledgement or CSP declaration received |

3 Shipborne equipment performance acceptance criteria and tolerances

3.1 When considering the performance of the LRIT system and the implications of the performance shipborne equipment the following issues need to be taken into account:

- .1 The overall LRIT system utilizes a sophisticated array of hardware components, software systems and satellite/terrestrial communications networks, which include without limitation:
 - .1 Shipborne equipment;
 - .2 Communications satellites;
 - .3 Land Earth Stations;
 - .4 Terrestrial communication networks;
 - .5 CSP routing/switching systems; and
 - .6 ASP systems;
- .2 In common with all real world systems the overall LRIT system may suffer from data losses and data latency, i.e. non-delivery/late-delivery of messages;
- .3 Data losses in the system as a whole are the result of a complex interaction of each of its components. The cause of losses can be as technical as a packet collision in the space segment or as practical as an equipment blockage caused by a ship funnel or crane, in port, etc.;
- .4 In order to specify the conditions of the conformance testing scheme it should be assumed that the average loss rate of messages sent to and from the existing potential equipment is 4% in each direction. Thus, the loss on a command and response pair such as Data Network Identifier (DNID) download and its acknowledgement is 8%, and the loss on an automatic LRIT information transmission is 4%;
- .5 Data latency in the system arises from the store-and-forward nature of the communication networks used. Each part of the communication chain, first stores a message and then forwards it to the next link which produces a robust system but one which has intrinsically variable latency;
- .6 In order to specify the conditions of conformance testing scheme it should be assumed that 1 h latency is within the normal operation of the system;
- .7 The design of a test for the conformance testing scheme allows for the real world performance of the overall LRIT system. Hence, it should be a design objective of the test that terminals are not incorrectly failed and thus cause shipowners to needlessly replace equipment;
- .8 Consider a poll request, it should be assumed that 8% of poll request/responses are lost, therefore, a fair test requires that the poll request is repeated in a sequence of attempts;

Table 3
Poll attempts and expectations

| Attempt | P(Success) | P(Failure) | Expectation | Cumulative P(Success) | Cumulative Expectation |
|----------------|-------------------|-------------------|--------------------|------------------------------|-------------------------------|
| 1 | 0.92000 | 0.08000 | 0.92000 | 0.92000 | 0.92000 |
| 2 | 0.07360 | 0.00640 | 0.14720 | 0.99360 | 1.06720 |
| 3 | 0.00589 | 0.00051 | 0.01766 | 0.99949 | 1.08486 |

Notes:

| <i>Column heading</i> | <i>Explanation</i> |
|------------------------|---|
| Attempt | Number of attempts |
| P(Success) | Probability of success on that attempt |
| P(Failure) | Probability of failure on that attempt |
| Expectation | Contribution to the expected number of attempts |
| Cumulative P | Cumulative probability of success |
| Cumulative Expectation | Cumulative expectation of number of attempts required for a successful download |

- .9 Table 3 demonstrates that if the system retries the poll three times there is a 1 in 1,000 chance of wrongly failing the equipment due to statistical variation. The cumulative expectation shows that the cost of testing apparent non-compliant terminals is only increased by 8% compared to a regime which had only a single attempt;
- .10 Consequently, it is recommended that each command is retried a maximum of three times, unless statistical variation can be excluded because of a network response, e.g., if the ship is in port and the equipment confirmed by the communication system as logged-out;
- .11 The ASP recognized by the Administration or approved to conduct conformance testing should properly account for different network regions. For example, the Inmarsat-C network has four ocean regions and the test provider must ensure that they have addressed the region containing the equipment;
- .12 This calculation assumes uncorrelated failures within the network which it is assumed to be true where there is a reasonable interval between attempts. To increase the likelihood that this assumption is correct it is recommended that the system retries are separated by at least 15 min; and
- .13 A similar analysis may be performed for receipt of automatic transmission of LRIT information. The more transmissions of LRIT information that are received the greater confidence there may be that the equipment is conformant while not wrongly failing units. To achieve a 1 in 1,000 confidence of wrongly failing units, it is recommended that 40 out of 48 transmissions of LRIT information are received with a transmitting interval of 15 min, and 10 out of 12 transmission of LRIT information with a transmission interval of 1 h.

3.2 The table set out below specifies for each conformance test the related acceptance criteria and the tolerances or limits within which the functional performance of existing equipment should be before it is considered as being acceptable.

Table 4

Shipborne equipment performance acceptance criteria and tolerances

| CTN | Acceptance criteria | Tolerances |
|------------|--|--|
| EL1 | CSP acknowledgement received | Maximum of 3 attempts separated by a minimum of 15 min |
| 1 | Confirmed by shipowner declaration on testing registration form prior to testing including certificate type and reference number | None |
| 2 | Validated in conjunction with CTN 9 | None |
| 3 | Validated in conjunction with CTN 9 | None |
| 4a | Validated in conjunction with CTN 9 | None |
| 4b | Assumed compliant in accordance with standard IMO guidelines and regulations | None |
| 5a | Validated in conjunction with CTN 9 | None |
| 5b | Confirmed by ASP recognized by the Administration or approved to conduct conformance testing based upon the confirmed inclusion of MEM code 11 (in the case of Inmarsat-C) and in the case of alternate hardware the compliance of the received message structure with the equipment manufacturers published standard for a message containing the generated Date and Time stamp | None |
| 5c | Confirmed by ASP recognized by the Administration or approved to conduct conformance testing based upon the confirmed inclusion of MEM code 11 (in the case of Inmarsat-C) and in the case of alternate hardware the compliance of the received message structure with the equipment manufacturers published standard for a message containing the generated Date and Time stamp | None |
| 6 | Forms the subject of this test specification which will be if the results are satisfactory and a Statement of conformity is issued by the ASP conducting the test (and the subsequent issuance of a Certificate of compliance by the Administration) | None |
| 7 | CSP acknowledgement received and nil position reports received within 15 min | Maximum of 3 attempts separated by a minimum of 15 min |
| 8 | Confirmed by manufacturer or by validation of technical specification | None |

| CTN | Acceptance criteria | Tolerances |
|-----|--|--|
| 9a | Confirmed subsequent to receipt of 48 consecutive transmissions of LRIT information transmitted at 15-min intervals | 3 attempts separated by a minimum of 15 min Acceptable results: a minimum of 40 out of 48 transmissions are received (>82% success rate) |
| 9b | Confirmed subsequent to receipt of 12 consecutive transmissions of LRIT information transmitted at 60-min intervals | 3 attempts separated by a minimum of 15 min Acceptable results: a minimum of 10 out of the 12 transmissions are received (>82% success rate) |
| 9c | Confirmed by ASP or manufacturer or by validation of technical specification | None |
| 9d | Confirmed by ASP or manufacturer of by validation of technical specification | None |
| 9e | Validated in conjunction with CTN 9a and 9b | Satisfactory: a minimum of 50 out of 60 transmissions are received (>82% success rate) |
| 10 | Confirmed subsequent to receipt of 1 polled transmission of LRIT information within 30 min | 3 attempts separated by a minimum of 15 min Satisfactory: a minimum 1 out of 1 transmissions are received (100% success rate) |
| 11 | Confirmed by ASP or manufacturer of by validation of technical specification if internal GPS, or if external GPS confirmed by shipowner declaration on testing registration form prior to testing | None |
| 12 | Confirmed by shipowner declaration on testing registration form prior to testing | None |
| 13 | Confirmed by the ASP recognized by the Administration or approved to conduct conformance testing based upon confirmation that all communication links from the equipment – satellite – CSP – ASP are direct and secure with no third party ASP involvement | None |
| EL2 | CSP acknowledgement or CSP declaration received | 3 attempts separated by a minimum of 15 min |

4 Estimated duration of conformance testing

4.1 Based upon the equipment requirements testing matrix, the test requirements, the procedures, the acceptance criteria and the acceptable tolerances detailed in this annex, the table set out below provides information on the estimated duration of the conformance testing:

Table 5
Estimated duration of conformance testing

| CTN | Tolerances | Maximum Duration |
|------------|--|--------------------------|
| EL1 | 3 attempts separated by a minimum of 15 min | 45 min |
| 9a | 3 attempts separated by a minimum of 15 min Acceptable results: a minimum of 40 out 48 | 45 min 720 min (12 h) |
| 9b | 3 attempts separated by a minimum of 15 min Acceptable results: a minimum of 10 out of 12 | 45 min 720 min (12 h) |
| 10 | 3 attempts separated by a minimum of 15 min | 45 min |
| 7 | 3 attempts separated by a minimum of 15 min | 45 min + wait 90 min |
| EL2 | 3 attempts separated by a minimum of 15 min | 45 min |
| | <i>Total</i> | 30 h |

Appendix 2

Model of Conformance test report

Conformance test report

issued under the provisions of MSC.1/Circ.1307 on Guidance on the survey and certification of compliance of ships with the requirements to transmit LRIT information

issued by

on behalf of the Government of

| | |
|--|--|
| Name of ship: | |
| Port of registry: | |
| Distinctive number or letters: | |
| IMO Number: | |
| Maritime Mobile Service Identity: | |
| Gross tonnage: | |
| Sea areas in which the ship is certified to operate ¹ : | |
| Sea areas for which this report is valid ² : | |
| Application Service Provider conducting the test: | |

THIS IS TO CERTIFY that the shipborne equipment designated to transmit LRIT information and specified below:

- .1 has been found to meet the requirement of the provision of regulations V/19-1.6 and V/19-1.7 and of the Revised performance standards and functional requirements for the long-range identification and tracking of ships adopted by resolution MSC.263(84) and³:
- .1 is of a type approved by the Administration in Yes No accordance with the provisions of regulation V/19-1;
 - .2 is of a type approved by the Administration in Yes No accordance with the provisions of regulation IV/14;
 - .3 has been certified by the Administration as meeting the requirements of IEC 60945 (2002-08) and IEC 60945 Corr.1 (2008-04) on Maritime navigation and radiocommunication equipment and systems – General requirements – Methods of testing and required test results; Yes No

.4 has been certified by the Administration as meeting the requirements of the provisions of regulation XI-2/6; and of resolution MSC.136(76) on Performance standards for a ship security alert system⁴/resolution MSC.147(77) on Adoption of the Revised performance standards for a ship security alert system⁵; Yes No

.2 has undergone conformance testing in accordance with the procedures and provisions set out in MSC.1/Circ.1307, and has shown that it can operate within the tolerances of the acceptance criteria stated in the aforesaid circular.

The conformance test was satisfactorily completed on
(date of completion of testing)

Details of the shipborne equipment used to transmit LRIT information (e.g., maker model, serial number and shipborne equipment identifier):

| |
|--|
| |
|--|

Issued at on
(place of issue) (date of issue)

.....
(name and signature of authorized person issuing the report)

¹ Insert the sea areas specified in Radio related certificate (refer to paragraph 3.1.6 and to section 11 of this circular).
² Refer to paragraphs 5.2 to 5.2.2. Insert the sea areas for which the conformance testing is valid. For example, if the sea areas indicated on the Radio related certificate are A1, A2, A3 and A4 and the conformance test has been conducted using a communication system which provides coverage only for sea areas A1, A2 and A3, insert A1, A2 and A3.
³ Indicate “Yes” against the option(s) which is/are applicable and “No” against the rest of the option(s).
⁴ Delete as appropriate.
⁵ Delete as appropriate.