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<b>Document title</b>	Draft roadmap for the Baltic Sea and the North Sea NECAs
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<b>Agenda Item</b>	4 - Matters arising from the subsidiary bodies
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<b>Submitted by</b>	Secretariat
<b>Reference</b>	Outcome of HOD 49-2015, paragraph 4.85

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This document includes plenary revisions to the original file.

## Background

Following a proposal by the North Sea countries, MARITIME 15-2015 (Klaipeda, Lithuania, 23-25 November 2015) considered and discussed the roadmap for designating a NOx emission control area (NECA) in the Baltic Sea in parallel with the North Sea, including the date of submission of the parallel applications to the IMO and the date of compliance for new ships in both NECAs, based on a document submitted by Denmark on behalf of all North Sea countries (HELCOM MARITIME 15, Outcome para 4.17).

HELCOM MARITIME 15 agreed that (Outcome para 4.18):

- there is a general agreement of the necessity to designate NECA and effectuate Tier III requirements in the Baltic Sea in parallel with North Sea NECA;
- the effective date in the proposed roadmap should be adjusted to 1 January 2021;
- a synchronized submission and process for the Baltic and North Sea NECA applications is strongly recommended;
- a meeting between the North Sea and Baltic Sea countries during spring 2016 to discuss the elements of Tier III technology, experiences within the North American ECAs and the NECA applications could be considered;
- decisions on how to proceed with the NECA issue and with the draft roadmap agreed by the Meeting should be taken by the upcoming HELCOM HOD/Helsinki Commission meetings.

The HELCOM HOD 49 Meeting (10-11 December 2015) considered how to proceed with the draft NECA roadmap and noted that Finland was the only country not yet ready to decide on timing of the Baltic Sea NECA (HELCOM HOD 49, outcome para 4.87). The Meeting welcomed Denmark to submit a revised version of the draft roadmap, based on the outcome of MARITIME 15-2015 to HELCOM 37-2016 for adoption (HELCOM HOD 49, outcome para 4.85).

## Action requested

The Meeting is invited to:

- take note of the NECA-related outcome of Maritime 15 2015;
- consider further steps, including deciding on how to proceed with the NECA issue and with the draft roadmap;
- adopt the attached revised draft roadmap.

## Draft roadmap for the simultaneous designation of Baltic Sea and the North Sea NECAs

### Background

The Baltic Sea states have decided to submit an application to the IMO for designation of the Baltic Sea as NECA, but are still undecided on the specific date for submission. At the 14<sup>th</sup> meeting in the HELCOM Maritime Group on the 4<sup>th</sup>-6<sup>th</sup> of November 2014 the Baltic Sea states furthermore expressed their preference for a parallel, synchronized process of NECA designation in the North Sea and the Baltic Sea.

The North Sea states are ready to submit their application to the MEPC and have a strong preference for synchronizing North Sea and Baltic Sea NECA designations.

Therefore the North Sea countries invited the Baltic Sea countries to a technical meeting, hosted by Finland in Helsinki in June 2015 for common discussion on the options and modalities for parallel NECA applications. The aim of the meeting was to facilitate a common understanding of the timing and procedural steps for a possible parallel process, i.e. a roadmap for parallel Baltic Sea and North Sea NECA designations.

At the meeting it was concluded that it is relevant to propose the formal decision process reactivated in parallel. The North Sea and the Baltic Sea states should consider and agree on the date for submission of the applications to the IMO as well as the compliance date/effective date from when new ships have to comply with the Tier III emission standards. It was furthermore agreed that Denmark, on behalf of the North Sea countries, should submit a proposal for a common roadmap for the North Sea and the Baltic Sea NECA designations to HELCOM Maritime 15.

MARITIME 15-2015 (Klaipeda, Lithuania, 23-25 November 2015) considered and discussed the proposed roadmap for designating a NECA in the Baltic Sea in parallel with the North Sea, including the date of submission of the parallel applications to the IMO and the date of compliance for new ships in both NECAs. At the Meeting there was general agreement of the necessity to designate a NECA and effectuate Tier III requirements in the Baltic Sea in parallel with North Sea NECA. It was agreed to adjust the effective date from 1 June 2020 to 1 January 2021 and to widen the scope of a possible meeting during spring 2016. The Meeting further agreed that decisions on how to proceed with the draft roadmap should be taken by the HELCOM HOD or the Helsinki Commission meeting.

The HELCOM HOD 49 Meeting (10-11 December 2015) considered how to proceed with the draft NECA roadmap and noted that only Finland was not yet ready to decide on timing of the Baltic Sea NECA. The Meeting welcomed Denmark to submit a revised version of the draft roadmap, based on the outcome of MARITIME 15-2015 to HELCOM 37-2016 for adoption.

This document presents the revised roadmap proposal for a NECA in the Baltic Sea in parallel with the North Sea.

### Strategy

To ensure that the process is brought on track, there is need for a tangible process and timeline for the HELCOM and the North Sea decision on submission of NECA applications.

As discussed on the technical meeting in Helsinki, it is realistic to submit the applications to the MEPC 70, which will be held in October 2016. The North Sea countries have proposed to give the industry three years to prepare for the NECA from the date of adoption by the IMO to the Tier III emission standards should apply (compliance/effective date).

At HELCOM Maritime 15 it was agreed to adjust the effective date from 1 June 2020, as initially proposed in the roadmap by the North Sea countries, to 1 January 2021. Hence, it will take more than four years from the agreement on a submission is in place, till the NECAs will actually be effective (~~Figure 1~~Figure 4).

#### Proposed process and timeline for Baltic Sea and North Sea NECAs

- 10-11 March 2016: Adoption of the NECA roadmap at HELCOM 37-2016.
- After HELCOM decision: ~~:- Silent procedure formal notification to between the~~ North Sea states of the HELCOM position, and an appropriate procedure among North Sea states in support of the HELCOM decision to be implemented.
- January-May 2016: Update of the North Sea and Baltic Sea NECA applications.
- Spring 2016: A meeting between the North Sea and the Baltic Sea countries to discuss elements of Tier III technology, experiences with the North American ECAs and the NECA applications could be considered.
- 1 June 2016: Deadline for formal approval by all North Sea countries of the submission of the final North Sea NECA application to the MEPC 70.
- 15-16 June 2016: HELCOM HOD 50 approves the submission of the final Baltic Sea NECA application to MEPC 70.
- 1 July 2016: Submission of the Baltic Sea and the North Sea NECA applications to MEPC 70 (22 July 2016: final 13-week deadline for MEPC 70 submission).
- 24-28 October 2016: MEPC 70, approval.
- 2017: MEPC 71, adoption.
- 1 January 2021: Compliance/effective date.
- ~~For EU members: Close coordination of the EU position is necessary throughout the process, with appropriate involvement of the Shipping Working Party.~~

#### Procedural steps, possible timing and duration for a synchronized designation of the Baltic Sea and North Sea NECAs

The roadmap would firstly have to be adopted by the HELCOM 37-2016 meeting. The decision taken by HELCOM has to be supported by the North Sea countries in order to continue, which is proposed to be in form of a silent procedure between North Sea states. The MEPC 70 takes place in October 2016, so the applications should be submitted by July 2016, which would allow sufficient time to update the studies and applications during spring 2016.

If the applications are approved at MEPC 70 they will be forwarded to MEPC 71 for adoption. The dates for MEPC 71 are not yet set, but in figure 1 the meeting is assumed to take place in May 2017. The NECA would enter into force at least 16 months later, which would be in October 2018. The entry into force will of course only apply to the ships constructed/engines installed on or after the compliance/effective date, which could be on the date of adoption (at the earliest) or any later date as specified in the amendment designating the NECAs. The North Sea countries suggest that the industry is given three years from the date of adoption until the date of compliance/effective date. At HELCOM Maritime 15 it was agreed that the compliance/effective date should be 1 January 2021. This would imply the Tier III emission standards to be applicable to ships constructed on or after this date.

For EU members: Close coordination of the EU position is necessary throughout the process, with appropriate involvement of the Shipping Working Party. ~~Between the EU Member States there is further an obligation to coordinate positions within the EU.~~

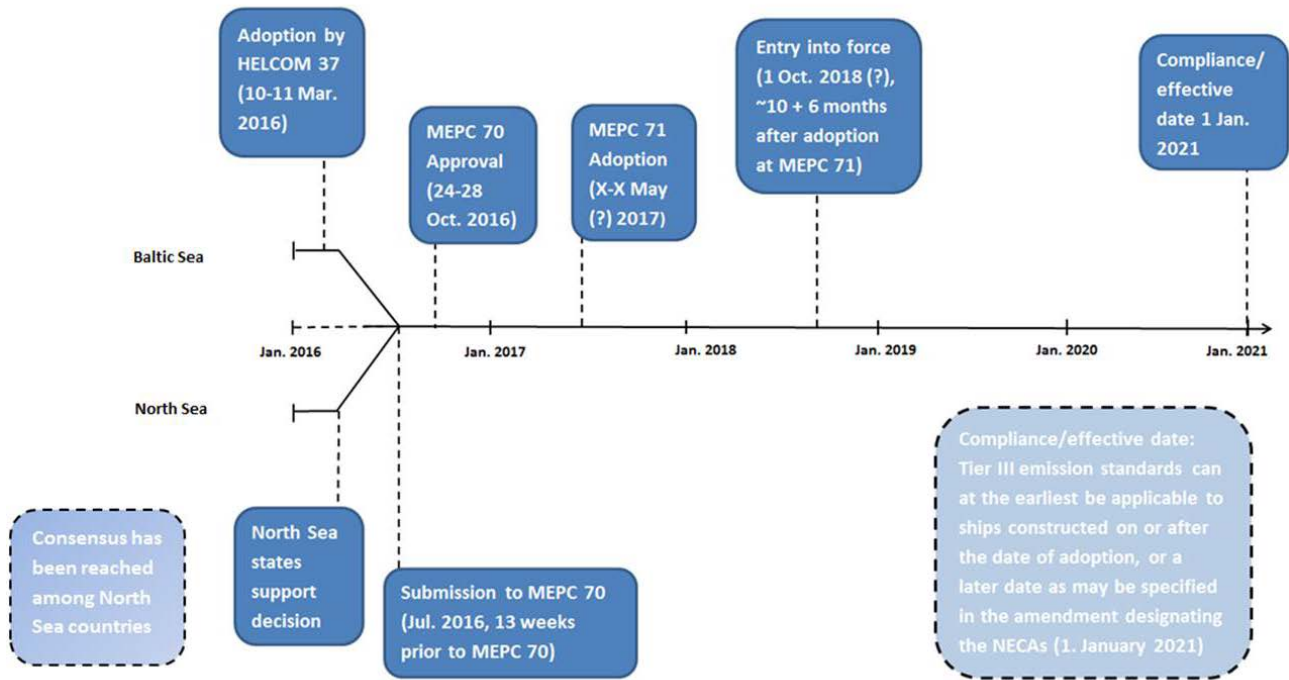


Figure 1 Proposed roadmap for parallel NECA designations in the Baltic Sea and the North Sea.