

4 ALBERT EMBANKMENT  
LONDON SE1 7SR  
Telephone: +44 (0)20 7735 7611 Fax: +44 (0)20 7587 3210

BWM.2/Circ.71  
2 April 2019

**INTERNATIONAL CONVENTION FOR THE CONTROL AND MANAGEMENT  
OF SHIPS' BALLAST WATER AND SEDIMENTS, 2004**

**Thirty-ninth meeting (regular) of the GESAMP\* – Ballast Water Working Group  
established in accordance with the Procedure for approval of ballast water  
management systems that make use of Active Substances (G9)  
to be held from 4 to 8 November 2019 at IMO Headquarters**

**Background**

1 The Ballast Water Management Convention (BWM Convention), in its regulation D-3, provides that ballast water management systems which make use of Active Substances to comply with the Convention shall be approved by IMO, based on a procedure developed by the Organization.

2 MEPC 53 adopted the *Procedure for approval of ballast water management systems that make use of Active Substances (G9)* (resolution MEPC.126(53)), which was subsequently superseded by the revised Procedure (G9) (resolution MEPC.169(57)) adopted at MEPC 57. Section 8 of the Procedure sets out the methodology to be followed for the approval of such systems and requests IMO to establish a technical group to review the proposals submitted by Members and report to the Organization on its findings. Based on the report of the Group, the Marine Environment Protection Committee decides on the approval of a proposal submitted by a Member of the Organization.

3 MEPC 53 agreed that a GESAMP-Ballast Water Working Group (GESAMP-BWWG), financed through a fee scheme paid by relevant industries requesting approval for a ballast water management system that makes use of Active Substances, could best serve the needs of the shipping industry. The fee mentioned above is to be based on the recovery of the costs incurred by the Organization in respect of the scientific services provided by the Group.

4 MEPC 71 agreed to a procedure for the submission of new data on fresh water testing of ballast water management systems with Final Approval, as incorporated into the revised Methodology for information gathering and conduct of work of the GESAMP-BWWG (BWM.2/Circ.13/Rev.4, chapter 11), along with a separate fee scheme, and noted the Group's intention to immediately start applying the procedure.

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\* GESAMP stands for "IMO/FAO/UNESCO-IOC/WMO/IAEA/UN/UNDP/UNEP/UNIDO/ISA Joint Group of Experts on the Scientific Aspects of Marine Environmental Protection".

5 Based on the previous practice agreed by MEPC, the GESAMP-BWWG aims to hold its meetings 20 weeks before the MEPC session that is expected to decide on the approval of the proposals made by the Member Governments. Consequently, a 28-week deadline has been established for the submission of the proposals for approval (including the complete application dossiers). This allows eight weeks for the preparation of the meeting and enables interested parties to provide information that is relevant to the evaluation in accordance with the provisions of paragraph 8.1.2.6 of the Procedure (G9). In this respect, Members are invited to submit the non-confidential description of their ballast water management systems that make use of Active Substances to the MEPC session before the one expected to decide on the approval or, if this is not possible, at their earliest opportunity after that, but not later than the 28-week deadline established above. A timetable for activities related to the GESAMP-BWWG meetings is attached as annex 1 of this circular for easy reference.

### **Thirty-ninth meeting of the GESAMP-BWWG**

6 As MEPC 75 has been scheduled to be held from 30 March to 3 April 2020, the thirty-ninth GESAMP-BWWG meeting is tentatively scheduled **from 4 to 8 November 2019**, subject to submission of relevant documents and application dossiers by Member Governments and subject to appropriate payment of the fees described in paragraphs 12 and 13 below. The GESAMP-BWWG will review the application dossiers received by 13 September 2019, which represents the 28-week deadline for MEPC 75. The report of the Group will be reviewed by the GESAMP itself and submitted to MEPC 75 for its consideration.

7 It should be noted that the application dossiers for Basic and Final Approval will be reviewed in the chronological order of their submission, and take precedence over any submissions of new data on fresh water testing. An application dossier will be considered as submitted only when all the required application elements set out in annex 3 have been received by IMO. The GESAMP-BWWG will endeavour to review as many proposals as possible submitted before the 28-week deadline. If more than four proposals for approval of ballast water management systems are received by the deadline, an additional meeting of the GESAMP-BWWG (i.e. the fortieth meeting) would be organized to review the proposals not reviewed during the thirty-ninth meeting. The fortieth GESAMP-BWWG meeting has been tentatively scheduled for 9 to 13 December 2019. Any proposal for approval that is not reviewed in the thirty-ninth or fortieth meeting due to time constraints will be reviewed at the earliest meetings of the Group after MEPC 75 and reported to MEPC 76.

8 Member Governments are invited **to submit their proposals for approval** of ballast water management systems that make use of Active Substances, together with the Letter of Agreement referred to in paragraph 11 of this circular and the complete application, as set out in annex 3, as soon as possible but **not later than 13 September 2019** to:

International Maritime Organization  
Marine Environment Division  
4 Albert Embankment  
London SE1 7SR  
United Kingdom

Tel.: +44 (0)20 7463 4145  
Email: [MJensen@imo.org](mailto:MJensen@imo.org)

9 The proposals for approval should take into account the relevant provisions of Procedure (G9), the Terms of Reference attached as annex 2 of this circular and the Methodology for information gathering and conduct of work of the GESAMP-BWWG, contained in the technical circular BWM.2/Circ.13 and its revisions. The revised Methodology in

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BWM.2/Circ.13/Rev.4 is applicable for all submissions for Basic Approval of ballast water management systems to MEPC 75 and to subsequent submissions for Final Approval of those systems.

10 Member Governments are reminded that, as a prerequisite of the review, a description of their proposals for approval containing the non-confidential data related to the respective ballast water management system that makes use of Active Substances should also be submitted to **MEPC 75 not later than 13 September 2019**, to enable interested parties to provide information that is relevant to the evaluation by the GESAMP-BWWG.

11 It should be noted that the approval of ballast water management systems that make use of Active Substances is part of the regulatory function of the Organization and its committees and that the GESAMP-BWWG has only an advisory role. A Letter of Agreement concerning the nature of the financial arrangements, the assertion of intellectual property rights, the settlement of disputes and the privileges and immunities of the Organization shall be signed and submitted by the Members of the Organization, together with their respective application dossiers, when proposing an approval. The draft text of such a Letter of Agreement is attached as an appendix to this circular for the guidance of interested parties.

12 A non-refundable registration fee of \$50,000 should be paid together with each submission of an application dossier for Basic or Final Approval of a ballast water management system that makes use of Active Substances. A non-refundable registration fee of \$20,000 should be paid together with each submission of an application dossier for approval of new data on fresh water testing of a ballast water management system with Final Approval.

13 After the deadline mentioned in paragraph 8 above, and based on the number of proposals received, the submitting Administrations will be advised on any additional amount needed to ensure the financing of the meeting. The total amount paid for one specific meeting covers the costs related to the services provided by the Group and by the GESAMP, the support of the Secretariat to process the submissions and to assist the Group during its deliberations, the production of the report and all the associated costs incurred by IMO. Bearing in mind the cost recovery character of the fee associated with the GESAMP-BWWG meetings, in case a proposal is not recommended for approval (Basic or Final Approval, or approval of new data on fresh water testing) in the first instance, any supplemental information should be evaluated by the Group as a new proposal and should be subjected to a new fee.

14 Member Governments intending to submit proposals for approval of ballast water management systems that make use of Active Substances are advised to contact the IMO Secretariat in advance for detailed information on the payment procedures and any other issues relating to their submissions.

#### **Dates for future GESAMP-BWWG meetings**

15 As MEPC 76 is tentatively scheduled for autumn 2020, using the timetable described in paragraph 5 and contained in annex 1 to this circular, the next regular meeting relating to the session above is tentatively planned for mid-2020, with the deadline for submission of the proposals in spring 2020. The final dates will be circulated in due course.

**APPENDIX****LETTER OF AGREEMENT**

**[relating to a ballast water management system that makes use of Active Substances proposed for approval in accordance with regulation D-3, paragraph 2, of the Ballast Water Management Convention]**

**[relating to new data on fresh water testing of a ballast water management system with Final Approval in accordance with regulation D-3, paragraph 2, of the Ballast Water Management Convention]**

Having received a satisfactory application on **[please insert the name of the ballast water management system]** produced by **[please insert the name of the manufacturer]**, the undersigned hereby confirms, on behalf of the maritime Administration of **[please insert the name of the submitting country]**, that the application dossier regarding [the ballast water management system that makes use of Active Substance(s)] [new data on fresh water testing of the ballast water management system with Final Approval] mentioned above is subject to the following conditions:

1. **Financial arrangements:** The fee paid in connection with this proposal for approval is based on the recovery of costs incurred by the International Maritime Organization (Organization) in respect of the services provided by the GESAMP-Ballast Water Working Group.

For an application for Basic or Final Approval of a ballast water management system that makes use of Active Substance(s), fees will be invoiced in up to three tranches:

- \$ 50,000 immediately following receipt of this Letter of Agreement by the Organization;
- an additional \$ 50,000 immediately following the deadline for submissions, if only one submission has been made; and/or
- a final invoice to recover costs over the initial cost estimate, if required.

For an application for approval of new data on fresh water testing of a ballast water management system with Final Approval, a fee of \$ 20,000 will be invoiced immediately following receipt of this Letter of Agreement by the Organization.

All fees paid as described above will be retained in a Trust Fund established for this purpose.

2. **Intellectual Property Rights:** The Organization and the members of the GESAMP-Ballast Water Working Group will make every reasonable effort to prevent the disclosure of information which is clearly and prominently identified as being subject to an intellectual property right, subject to the condition that sufficient detail must be provided to the Marine Environment Protection Committee (MEPC) of the Organization to enable that body to perform its functions under resolution MEPC.169(57) and, in particular, to approve the proposed ballast water management systems that make use of

Active Substances. In this respect the members of the Group will be required to sign a declaration concerning the confidentiality of information acquired as a result of their affiliation with the Group. In any case, neither the Organization nor the members of the GESAMP-Ballast Water Working Group can accept liability for damage or loss which may result from disclosure of such information in the exercise of their responsibilities.

3. **Settlement of disputes:** The submitting Administration, the Organization and the GESAMP-Ballast Water Working Group shall use their best efforts to settle amicably any dispute, controversy or claim arising out of, or relating to, the process established for reviewing Active Substances used for the management of ballast water or this Letter of Agreement, or the breach, termination or invalidity thereof. Where these parties wish to seek such an amicable settlement through conciliation, the conciliation shall take place in accordance with the UNCITRAL Conciliation Rules then pertaining, or according to such other procedure as may be agreed between the parties. Any dispute, controversy or claim which is not settled amicably, shall be referred to arbitration in accordance with the UNCITRAL Arbitration Rules then pertaining. The place of the arbitration will be London, the United Kingdom.
4. **Privileges and immunities:** Nothing in or relating to the process established for reviewing Active Substances used for the management of ballast water or this Letter of Agreement shall be deemed a waiver, express or implied, of any of the privileges and immunities of the International Maritime Organization, including its officers, experts or subsidiary organizations or of the privileges and immunities to which the Administration is entitled under international law.

Members of the GESAMP-Ballast Water Working Group, when performing functions in connection with the terms of reference of the Group, shall be considered to be experts of the Organization pursuant to Annex XII of the Convention on Privileges and Immunities of the Specialized Agencies of the United Nations.

**Authorized signature on behalf of the maritime Administration:**

\_\_\_\_\_

**Typed/Printed name:**

\_\_\_\_\_

**Title/Position/Organization/Country:**

\_\_\_\_\_

**Date of signature:**

\_\_\_\_\_

**Name and address  
for fees invoicing:**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Email address:**

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**ANNEX 1**

**TIMETABLE FOR ACTIVITIES  
RELATED TO THE GESAMP-BWWG MEETINGS**

| <b>Timeline</b>      | <b>Activity</b>   |
|----------------------|---|
| 28 weeks before MEPC | Deadline for submission of application dossiers and related documents to be reviewed by the GESAMP-BWWG                       |
| (8 weeks)            | Preparation of the meeting, including circulation of any relevant information provided by other delegations                   |
| 20 weeks before MEPC | GESAMP-BWWG Meeting   |
| (1 week)             | Editing and completion of the draft report of the meeting   |
| (3 weeks)            | Review and approval of the report by the GESAMP including response/clarification by the Working Group                         |
| (1 week)             | Administrations confirm that no confidential data are contained in the report   |
| (1 week)             | Produce the final report  |
| 13 weeks before MEPC | Submission of the report of the meeting of the GESAMP-BWWG in accordance with the 13-week deadline (bulky documents) for MEPC |

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## ANNEX 2

### TERMS OF REFERENCE FOR THE GESAMP-BWWG

1 Consideration of development of necessary methodologies and information requirements in accordance with the "Procedure for approval of ballast water management systems that make use of Active Substances (G9)" for consideration by MEPC 75.

2 For Basic Approval, the Group should review the comprehensive proposal submitted by the Members of the Organization, along with any additional data submitted, as well as other relevant information available to the Group, and report to the Organization. In particular, the Group should undertake:

- .1 scientific evaluation of the data set in the proposal for approval (see paragraphs 4.2, 6.1, 8.1.2.3 and 8.1.2.4 of the Procedure (G9));
- .2 scientific evaluation of the assessment report contained in the proposal for approval (see paragraph 4.3.1 of the Procedure (G9));
- .3 scientific evaluation of the risks to the ship and personnel to include consideration of the storage, handling and application of the Active Substance (see paragraph 6.3 of the Procedure (G9));
- .4 scientific evaluation of any further information submitted (see paragraph 8.1.2.6 of the Procedure (G9));
- .5 scientific review of the risk characterization and analysis contained in the proposal for approval (see paragraph 5.3 of the Procedure (G9));
- .6 scientific recommendations on whether the proposal has demonstrated a potential for unreasonable risk to the environment, human health, property or resources (see paragraph 8.1.2.8 of the Procedure (G9)); and
- .7 preparation of a report addressing the above-mentioned aspects for consideration by MEPC (see paragraph 8.1.2.10 of the Procedure (G9)).

3 For Final Approval, the Group should review the discharge testing (field) data and confirm that the residual toxicity of the discharge conforms to the evaluation undertaken for Basic Approval and that the previous evaluation of the risks to the ship and personnel including consideration of the storage, handling and application of the Active Substance remains valid. The evaluation will be reported to MEPC (see paragraph 8.2 of the Procedure (G9)).

4 The Group shall keep confidential all data, the disclosure of which would undermine protection of the commercial interests of the applicant, including intellectual property.

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### ANNEX 3

#### REQUIREMENTS FOR SUBMISSION OF A PROPOSAL FOR APPROVAL OF A BWMS MAKING USE OF ACTIVE SUBSTANCES

1 Any application for consideration by MEPC should contain the following elements, in accordance with the Methodology for information gathering and conduct of work of the GESAMP-BWWG (BWM.2/Circ.13 and its revisions, paragraph 2.3), and should be received by IMO by the deadline set out in paragraph 8:

- .1 a signed Letter of Agreement, as provided in the appendix;
- .2 a description of the proposal for approval containing the non-confidential data related to the respective ballast water management system that makes use of Active Substances, formatted as an MEPC document in accordance with the applicable requirements;
- .3 the complete confidential dossier, in both hard and electronic copy:
  - .1 for Basic or Final Approval, meeting all requirements set out in Procedure (G9) and the applicable Methodology (BWM.2/Circ.13 and its revisions); or
  - .2 for approval of new data on fresh water testing of a ballast water management system with Final Approval, meeting all requirements set out in Procedure (G9) and the latest revision of the Methodology (BWM.2/Circ.13/Rev.4); and
- .4 the assessment report in accordance with paragraph 4.3 of the Procedure (G9).

2 In accordance with the Methodology (BWM.2/Circ.13 and its revisions), during its meetings the GESAMP-BWWG will request clarifications regarding the system via email to at least one technical contact, typically from the BWMS manufacturer and/or consultants. Technical contacts should be individuals capable of preparing and sending responses within 24 hours to the GESAMP-BWWG. Additionally, one or more contacts from the submitting Administration will be copied in on all communications. Submitting Administrations are requested to provide names and email addresses of all these contacts in electronic copy to the Secretariat at the time of their application, specifying technical and administrative individuals.

3 Submitting Administrations are requested to ensure consistency with regard to the name of the BWMS throughout the Letter of Agreement and the non-confidential description and data, as this name will be used in all IMO documents related to the evaluation of the system.