

NATO STANDARD

ATP-02

**NAVAL COOPERATION AND
GUIDANCE FOR SHIPPING (NCAGS)
MANUAL**

Edition (D) Version (2)

SEPTEMBER 2018



NORTH ATLANTIC TREATY ORGANIZATION

ALLIED TACTICAL PUBLICATION

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PUBLICATION NOTICE

1. ATP-02(D)(2), Naval Cooperation and Guidance for Shipping (NCAGS) Manual, is effective upon receipt. It supersedes ATP-02(D)(1).
2. Summary.
 - a. Chapter 5, which outlines NCAGS roles and responsibilities to assist operations planners to establish the appropriate manning requirements, was added.
 - b. Updated list of acronyms and abbreviations.

This notice will assist in providing information to cognizant personnel. It is not accountable.

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NATO LETTER OF PROMULGATION

18 September 2018

1. The enclosed Allied Tactical Publication ATP-02, Edition D, Version 2 - NAVAL COOPERATION AND GUIDANCE FOR SHIPPING (NCAGS) MANUAL, which has been approved by the nations in the Military Committee Maritime Standardization Board (MCMSB), is promulgated herewith. The agreement of nations to use this publication is recorded in STANAG 1040.
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Brigadier General, HUNAF
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RECORD OF RESERVATIONS

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CONVENTIONS USED IN THIS PUBLICATION

CHANGE SYMBOLS

Revised text in changes is indicated by a black vertical line in either margin of the page, like the one printed next to this paragraph. The change symbol indicates added or restated information. A change symbol in the margin adjacent to the chapter number and title indicates a new or completely revised chapter.

WARNINGS, CAUTIONS, AND NOTES

The following definitions apply to warnings, cautions, and notes used in this manual:



WARNING

AN OPERATING PROCEDURE, PRACTICE, OR CONDITION THAT MAY RESULT IN INJURY OR DEATH IF NOT CAREFULLY OBSERVED OR FOLLOWED.



CAUTION

AN OPERATING PROCEDURE, PRACTICE, OR CONDITION THAT MAY RESULT IN DAMAGE TO EQUIPMENT IF NOT CAREFULLY OBSERVED OR FOLLOWED.

NOTE

AN OPERATING PROCEDURE, PRACTICE, OR CONDITION THAT REQUIRES EMPHASIS.

WORDING

Word usage and intended meaning throughout this publication is as follows:

“Shall” indicates the application of a procedure is mandatory.

“Should” indicates the application of a procedure is recommended.

“May” and “need not” indicates the application of a procedure is optional.

“Will” indicates future time. It never indicates any degree of requirement for application of a procedure.

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CHAPTER 1 Introduction

0101 Background

Maritime trade is of fundamental strategic interest to nations; indeed, economic wealth depends on the ability to trade, which in turn depends upon freedom of navigation. The Alliance's capability for operations involving merchant shipping is naval cooperation and guidance for shipping (NCAGS), with its associated tactics, techniques and procedures (TTP). Military Committee (MC) 376, which is maintained by the North Atlantic Treaty Organization (NATO) Shipping Working Group, is the policy document defining NCAGS.

0102 Purpose of this Publication

This tactical publication describes the effects delivered by NCAGS and the doctrine, tactics, techniques and procedures that can be used to conduct NCAGS in support of the full spectrum of maritime operations.

0103 Definition of NCAGS

Naval cooperation and guidance for shipping is the provision of cooperation, guidance, advice, and assistance to merchant shipping in support of the commander's mission and to enhance the safety and security of merchant ships.

0104 Scope of NCAGS

Maritime operations frequently affect merchant shipping; similarly, merchant shipping may impact, or be involved in, maritime operations. NCAGS is the interface with merchant shipping in support of the commander's mission. NCAGS enhances and contributes primarily to the following effects:

1. Commander's freedom of manoeuvre.
2. Commander's decision-making process.
3. Effective and efficient commitment and use of military assets.
4. Nations' economic well-being and international stability.
5. Free flow of maritime trade in the area of operations (AOO).
6. Merchant shipping's confidence in military operations.

NCAGS must be flexible and prepared to operate within a wide variety of command structures and operational environments. In a particular operation, the NCAGS response should be tailored to the scenario and coordinated with other warfare disciplines in order to deliver the desired effects.

0105 NCAGS and the NATO Comprehensive Approach

NATO recognizes the complexity of any operational environment, consisting of intertwined political, cultural, economic, religious, legal, and military systems. This complex environment requires a holistic, comprehensive approach to any operations planning and execution. Guidance to commanders is provided in NATO's Comprehensive Operational Planning Directive. NCAGS is a contributor to the NATO comprehensive approach through its interface and liaison with merchant shipping civil actors such as (but not confined to) those listed in Annex 1A.

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ANNEX 1A Merchant Shipping Civil Actors

The following entities are key stakeholders within merchant shipping with which NCAGS may, or may need to, liaise at the strategic, operational, and/or tactical levels. Civil actors can be a source of information and influence in support of the commander's mission; their role within an operation must be considered in the planning process. The lists are not all-inclusive.

1. Merchant shipping civil agencies and organizations:

- a. International Maritime Organization (IMO).
- b. International Chamber of Shipping.
- c. International Shipping Federation.
- d. Other international shipping associations (e.g., BIMCO, INTERCARGO, INTERTANKO).
- e. Classification societies (e.g., Germanischer Lloyd, Det Norske Veritas).
- f. Marine insurance organizations (e.g., International Group of Protection and Indemnity Insurance (P&I) Clubs, International Union of Marine Insurance).
- g. Insurance technical bodies (e.g., Joint War Committee, Joint Hull Committee).
- h. Hydrographic offices.
- i. National representative bodies (e.g., chambers of shipping, shipping federations).
- j. Government departments (e.g., trade, transport, security, fisheries).
- k. International organizations of maritime security providers (e.g., security associations of maritime industries).
- l. International Seafarers Union.
- m. Mission to Seafarers (formerly the Mission to Seamen).
- n. International Coalition of Fishery Associations.

2. Particular merchant ship interests:

- a. Owner.
- b. Flag state (ship register, national maritime authorities).
- c. Port state.
- d. Crewing agent.
- e. Manager.
- f. Charterer.

- g. Insurer (e.g., hull, cargo, P&I).
- h. Forwarder.
- i. Operator.
- j. Broker.
- k. Ship's agents.
- l. Fishing cooperatives.

CHAPTER 2 Doctrine

0201 Fundamental Concepts

1. Presence of Merchant Ships in the Area of Operations. Commanders are required to take account of factors other than those of a purely military character (e.g., as detailed in Allied joint publication (AJP)-3.4.9) when planning and conducting operations. In the maritime environment, one of the most significant of these factors is merchant ships, which are likely to be present in the AOO and wish to continue their passage with minimal interference. Merchant shipping aims, methods, and perspectives may have to be reconciled with those of NATO in order that the commander's mission can be fulfilled. NCAGS provides the means by which reconciliation can be achieved.

2. Voluntary Participation of Merchant Shipping.

a. Merchant shipping will usually follow the commanders' guidance or advice on a voluntary basis. Only in specific circumstances, depending on flag-state decisions, will commanders be authorized to exercise measures of control over merchant ships.

b. The commander will consequently usually rely on two factors to ensure that merchant shipping follows guidance and advice. First, it will often be in the self-interest of merchant shipping to do so. Second, merchant shipping can be influenced through building a relationship of trust. NCAGS makes an important contribution to building such trust through collaboration, cooperation, and understanding of merchant shipping operations.

c. In some operations, it may be necessary to categorize merchant ships, for example, in order to identify those ships that will receive specific guidance or protection. The descriptions and definitions as presented in Annex 2A should be considered in this eventuality.

3. Responsibility of Masters. In accordance with the United Nations Convention for Safety of Life at Sea (SOLAS), the master is always responsible for the safe navigation of his ship.

4. Flexibility. NCAGS is distinct from warfare disciplines only in the degree to which its strength resides in personnel and their knowledge, adaptability, and expertise rather than on platforms or equipment. It is inherently flexible; and its tactics, techniques and procedures, and the number of personnel and their level of expertise, can be adapted to the scale of the operation.

5. Conduct of NCAGS Through the Spectrum of Operations.

a. NCAGS operates through the full spectrum of operations from peacetime to crisis and is configured and coordinated with other disciplines as the situation demands.

b. At the lowest level of intensity, there will be a baseline NCAGS capability (including the NATO Shipping Centre (NSC)), and the functions will usually be confined to preparation and monitoring and cooperation with shipping authorities (see Paragraph 0301 and 0302).

c. In times of tension, NCAGS will contribute to both the military and economic lines of development of the Joint/Combined Campaign Plan and, therefore, NCAGS must be considered at an early stage in planning at all levels.

d. Specific merchant ships may warrant closer interaction because of their economic or military significance or the area in which they operate. It is possible that different NCAGS tactics, techniques and procedures may be applied to such merchant ships. See also Paragraph 0201.2c above.

0202 NATO Civil-Military Cooperation in the Maritime Environment

1. NATO civil-military cooperation (CIMIC) in the maritime environment and NCAGS have significant overlap with respect to the NATO comprehensive approach. There should be awareness that the conduct of NCAGS functions and tasks can simultaneously be the conduct of selected CIMIC functions and tasks.
2. NATO CIMIC in the maritime environment transports all aspects of NATO Joint CIMIC into the naval dimension of maritime operations and into the maritime environment, which comprises the oceans, seas, bays, estuaries, waterways, coastal regions, and ports or any other area in which naval forces are operating. Further details are given in Annex 1A.
3. In direct support of the commander's mission, NATO CIMIC in the maritime environment contributes to situational awareness and consists of, but is not limited to, assessments and reports regarding the civil environment. It is also a key element with the potential to determine the success or failure of courses of action or the operation itself.
4. The NCAGS interface and liaison with merchant shipping civil actors such as those detailed in Annex 1A assist in developing this knowledge and procedures and skills. Within the CIMIC context, NCAGS coordinates with many non-military stakeholders; including government departments and agencies, law enforcement agencies, and international and non-governmental organizations.

0203 Related Areas

Besides its close relationship with all other staff components (e.g., operations, intelligence, plans), NCAGS works closely with the following systems and organizations:

1. Allied Worldwide Navigational Information System (AWNIS).

- a. AWNIS is the interface with the World-wide Navigational Warning Service (WWNWS) for the promulgation of unclassified navigational information to merchant ships. It also ensures the dissemination of classified information via military communications facilities. As it may be necessary to provide more specific guidance to individual merchant ships than that disseminated through WWNWS, it is important to understand both classified and unclassified information.
- b. While both AWNIS and NCAGS deal with issues associated with merchant shipping, AWNIS remains responsible for the collation, coordination, and promulgation of all safety of navigation related information and safety related communications systems. This coordination may require an AWNIS element to be collocated with NCAGS.
- c. SOLAS Convention, Chapter V, Regulation 4 states that the "Contracting Government shall take all steps necessary to ensure that, when intelligence of any dangers is received from whatever reliable source, it shall be promptly brought to the knowledge of those concerned and communicated to other interested Governments." Further details of SOLAS, WWNWS, and AWNIS are found in AHP-1.

2. Civil Emergency Planning for Merchant Shipping.

- a. The North Atlantic Council (NAC) has established a number of planning boards and committees to plan for the organization and operation of a crisis situation and for making the best use of civil resources. The NATO Civil Emergency Planning Committee (CEPC) is responsible for developing and maintaining plans for shipping, air, and surface transport resources to meet military lift requirements. It is responsible (among many others) for the Transport Group Ocean Shipping (TGOS), described further in Paragraph 0301.3.
- b. Each Allied nation has vested responsibility for exercising national liaison and direction of its own merchant shipping in its national shipping authority (NSA), details of which are listed in ATP-02.2.

0204 NCAGS Effects

The aim of NCAGS is to achieve the effects shown in Table 2-1 in order to support the operational commander's mission.

Table 2-1. NCAGS Effects (Sheet 1 of 3)

Effect	Delivered By	Associated NCAGS TTP
NCAGS will contribute to nations' economic well-being and international stability through enhanced safety and security of merchant ships by:	Conducting risk profiling of merchant ships in or approaching the AOO to identify those at high risk or of particular economic, political or military value.	NCAGS information process (Paragraph 0402)
	Coordinating movement and contributing to the protection of merchant ships.	Management of merchant ship movements (Paragraph 0405)
	Providing guidance and advice based on the commander's assessment.	Provision of advice and guidance to merchant shipping (Paragraph 0404)
	Liaising with merchant shipping on security and self-protection measures.	Provision of advice and guidance to merchant shipping (Paragraph 0404)
NCAGS will facilitate the free flow of maritime trade in the area of operations by:	Ensuring merchant shipping is aware of, understands, and follows the requirements of the commander.	Provision of advice and guidance to merchant shipping (Paragraph 0404)
	Coordinating movement and contributing to the protection of merchant ships.	Management of merchant ship movements (Paragraph 0405)
	Providing guidance and advice based on the commander's assessment.	Provision of advice and guidance to merchant shipping (Paragraph 0404)
	Providing information to merchant shipping essential to safe movement.	Provision of advice and guidance to merchant shipping (Paragraph 0404)

Table 2-1. NCAGS Effects (Sheet 2 of 3)

Effect	Delivered By	Associated NCAGS TTP
NCAGS will increase merchant shipping's confidence in military operations by:	Enabling information exchange between the commander and merchant shipping at all levels, from international organizations, through governmental and non-governmental bodies to owners, masters, and port authorities.	Provision of advice and guidance to merchant shipping (Paragraph 0404)
	Assisting in the continuance of normal maritime trade in peacetime, tension, crisis, or conflict.	Management of merchant ship movements (Paragraph 0405)
	Providing reassurance to merchant shipping through the provision of cooperation, guidance, advice, and assistance.	Provision of advice and guidance to merchant shipping (Paragraph 0404)
	Facilitating close cooperation between the military and merchant shipping in relation to the protection of merchant ships, ports, and anchorages.	Provision of advice and guidance to merchant shipping (Paragraph 0404)
NCAGS will enhance the commander's decision-making process based on informed knowledge of merchant shipping considerations by:	Conducting vulnerability assessments of merchant ships in or approaching the AOO to identify those at high risk or of particular economic, political, or military value or interest.	NCAGS information process (Paragraph 0402)
	Gathering and interpreting information on shipping activity, including (but not limited to) ferries, fishing, port infrastructure, management, and cargo handling.	NCAGS information process (Paragraph 0402)
	Enhancing maritime situational awareness (MSA) by managing voluntary reporting schemes and collecting merchant ship transit data for inclusion in the surface picture.	NCAGS information process (Paragraph 0402)
	Providing specialist knowledge of merchant shipping and maritime trade.	Provision of subject matter expertise to the commander (Paragraph 0403)

Table 2-1. NCAGS Effects (Sheet 3 of 3)

Effect	Delivered By	Associated NCAGS TTP
NCAGS will contribute to the effective and efficient commitment and use of military assets by:	Conducting risk profiling of merchant ships in or approaching the AOO to identify those at high risk or of particular economic, political, or military value or interest.	NCAGS information process (Paragraph 0402)
	Gathering and interpreting information on merchant shipping activity including (but not limited to) ferries, fishing, port infrastructure, management, and cargo handling.	NCAGS information process (Paragraph 0402)
	Working with merchant shipping to enhance industry risk management, including threat awareness and self-protection measures.	Provision of advice and guidance to merchant shipping (Paragraph 0404)
	Enhancing MSA by managing voluntary reporting schemes and collecting merchant ship transit data for inclusion in the surface picture.	NCAGS information process (Paragraph 0402)
NCAGS will enhance the commander's freedom of manoeuvre by minimizing merchant shipping interference with operations by:	Managing the deconfliction of economic and operational shipping in the AOO.	Management of merchant ship movements (Paragraph 0405)
	Providing input to the intelligence preparation of the operational environment (IPOE) process.	NCAGS information process (Paragraph 0402)
	Providing advice to the operational commander.	Provision of subject matter expertise to the operational commander (Paragraph 0403)
	Enhancing MSA by managing voluntary reporting schemes and collecting merchant ship transit data for inclusion in the surface picture.	NCAGS information process (Paragraph 0402)

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ANNEX 2A Categorization of Merchant Ships

A201 General

Merchant ships are categorized based on operational requirements or national priorities. For definitions, see glossary.

A202 Participating Merchant Ship

This is the default status for any merchant ship cooperating with NCAGS. Subject to the policy of the operational commander (see Paragraph 0302), a participating ship can be of any flag, with any master and crew of any nationality, and bound to and from anywhere in the world when transiting the AOO. In return for providing positional information, a participating ship gets access to any advice and guidance being offered. Such a ship will submit sufficient information for participation, normally via Format Alfa.

A203 Designated Merchant Ship

Merchant ships are nominated as Designated by a NATO-flag state through its NSA. On request, the NAC/Defence Planning Committee may allow other flag states to nominate ships. A flag state that wishes to nominate ships as Designated will supply the military commander, via its NSA or equivalent, with a list of ships and their IMO numbers. Designated ships include national ships, those from dependent territories, or any other ship; for example, those carrying an immediately vital cargo or those assessed as being of benefit to the nation.

A204 Crisis Response Shipping

The purpose of crisis response shipping (CRS) is to augment forces in an area of risk in order to enhance military capability. When reinforcement/resupply (RE/RE) shipping is under military direction and control, very little may be required from NCAGS. However, when RE/RE is sailing independently, NCAGS may provide direct liaison with the ship concerned for advice and information, positional report for recognized maritime picture (RMP) purposes, routing advice, and deployment of NCAGS liaison officers (LOs). It permits a timely, tailored, and reversible employment of forces that makes optimum use of available resources. CRS can be divided into:

- 1. Reinforcement.** Such merchant ships augment Allied forces in forward areas in the early days of a crisis, thereby making maximum use of warning time.
- 2. Resupply.** Such merchant ships follow on from reinforcement. They replenish reinforcement stocks in order to maintain required levels of supply.
- 3. Retrograde.** Such merchant ships backload unwanted stores, equipment, and personnel from the area of reinforcement. Reinforcement ships may be used for retrograde cargoes.
- 4. Military Charter.** Such merchant ships have been chartered for support of military operations. The charter party will normally state that the master has to follow military orders. However, under SOLAS, the master always has the final responsibility for the safe navigation of the vessel.

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CHAPTER 3 Planning and Preparation

0301 Strategic Preparation

1. It is important to develop and maintain relationships with merchant shipping during peacetime in order to achieve the degree of liaison with merchant shipping that military commanders will require during periods of tension, and to provide a firm foundation for transition to conflict/war. Some relationships may include integrated planning mechanisms at the strategic level. Annex 1A lists some of the key merchant shipping civil agencies and organizations.

2. Role of Nations. Nations may also engage in relationship building with key national elements of merchant shipping during peacetime. In addition, they are responsible for the generation of forces that can be used to conduct NCAGS. Emergency planning for merchant ships, including national control and direction, is a national responsibility.

3. Role of NATO Transport Group Ocean Shipping.

a. TGOS is responsible for developing and maintaining plans for shipping support to the Alliance in crisis and conflict, including planning for the acquisition of civil shipping resources necessary to meet military sealift requirements. It cooperates closely with both NSC and merchant shipping under the guidance of the NATO CEPC.

b. TGOS maintains a cadre of shipping and maritime insurance experts from industry to support NATO crisis management arrangements. TGOS also works closely with partner-nations.

4. Role of NATO Shipping Centre. The NSC is Supreme Allied Commander Europe's (SACEUR's) primary tool for establishing, maintaining, and interfacing with the merchant shipping industry and to facilitate the communication of safety and security information to merchant shipping. In this respect and in order to maintain the uninterrupted flow of maritime commerce, the NSC must be involved early in the planning of any relevant operation.

0302 Operations Planning and Preparation

1. Relationships. In any maritime operations planning process (OPP) it is essential that the relationship with merchant shipping is properly considered. To ensure NCAGS is able to focus on fully supporting operational objectives, NCAGS planning must be fully integrated with other warfare and advisor desks into the operations planning process. These include, but are not limited to those listed below:

- a. Maritime operations.
- b. Intelligence.
- c. Communications.
- d. AWNIS.
- e. Information operations.
- f. CIMIC.
- g. Legal advisor.

- h. Political advisor.
- i. Media advisor/public affairs.
- j. Cultural advisor.
- k. Logistics.

2. Roles.

a. The Operational Commander (Allied Maritime Command (MARCOM)). MARCOM provides C2 for the full spectrum of Alliance joint maritime operations and tasks, and is the principal maritime advisor to the Alliance. MARCOM has overall responsibility to SACEUR for all Alliance NCAGS tasking and activities, which include planning, preparation, execution, evaluation, and organizational matters.

b. The Tactical Commander (Maritime Component Commander (MCC)). MCC will execute NCAGS functions at the tactical level. The MCC will utilise the NSC on its own, or utilise a Staff Officer NCAGS embedded in the MCC, supported by the NSC and, if established, Deployed NCAGS Elements (DNE), whether or not afloat, to deliver NCAGS effects to merchant shipping in the affected area.

c. The Staff Officer NCAGS (SO NCAGS). As the officer who provides expertise and advice to the operational commander on NCAGS matters as they affect the planning and execution of operations, SO NCAGS will oversee the NCAGS contribution to the OPP.

d. The NATO Shipping Centre. The NSC makes a significant contribution to operational planning by maintaining relationships with merchant shipping. These relationships built on mutual trust will provide a solid foundation for coordinating the operations plan with industry.

At the operational level, the NSC:

- (1) Provides an essential communications hub to facilitate cooperation with merchant shipping and exchange information and data.
- (2) Assists the operational commander in effectively understanding the characteristics of merchant shipping.
- (3) Ensures the use of NCAGS assets as force multipliers, facilitating the most effective use of military resources in support of operational objectives.
- (4) Strengthens the active dialogue between merchant shipping, government institutions, and military forces.

NSC is acting as the NATO single point of contact (SPOC) for merchant ships.

3. Considerations. As outlined in Table 2-1, the aim of NCAGS is to achieve effects in order to support the commander's mission. It is therefore necessary to understand what effects the commander requires for the particular operation. This understanding will then shape the functions that NCAGS has to perform (see Table 2-1 and Appendix 4E-5), which will in turn determine the tactics, techniques and procedures that will be required (see further Chapter 4).

4. Other Factors Affecting NCAGS Planning. The following factors should be addressed during the OPP, as they will influence the nature of NCAGS involvement and determine how NCAGS is configured for the operation. The list is not all-inclusive.

a. Commander's Objectives. In applying NCAGS tactics, techniques and procedures, the guiding principle should be flexibility. Tactics, techniques and procedures should be adapted to meet the commander's objectives, rather than the objectives being restricted by doctrinal limitations.

b. Threat to Maritime Trade. The nature of the operation will determine the threat to trade and the NCAGS response. Amphibious operations, for example, may pose no threat to merchant shipping and simply require ships to avoid the area; however, counterterrorism operations will require much more interaction between merchant shipping and the commander and may include self-protection advice, management of movements, and military protection.

c. Specific Merchant Ships. During the planning, specific merchant ships or types might be identified as ships of interest, usually by the intelligence staff. Some supplementary tasks could thus be defined for NCAGS during this phase in the planning process.

d. Area of Operations. The dimensions and boundaries of the AOO, as well as the ports and shipping lanes within it, will be important factors in determining the scope of the NCAGS component of the operation, the resources required, and the TTP that will be employed. In addition, the geographic, hydrographic, and environmental conditions in the area will affect merchant shipping and operations alike and must be understood.

e. Area of Interest (AOI). There may also be an AOI beyond the boundaries of the AOO. For example, merchant ships not in the AOO, but intending to enter, could be in an AOI. As described in Annex 4C, merchant ships may be asked to report at a reporting boundary (defined in terms of time or distance from a point or line) before entering the AOO.

f. Type and Density of Merchant Traffic in the Area. Density of traffic will impact upon operations. Hence, high traffic density or particular types of ships in the AOO (e.g., choke points) are important planning factors to be considered.

g. Potential Impact of Merchant Shipping Activity on the Operation. Operations in the littoral are likely to impact on port operations, fishing, and ferries. Planning must consider both how the impact of shipping on operations can be minimized through management of movement (Paragraph 0405) and other NCAGS techniques or procedures, whilst also mitigating the impact of operations upon trade.

h. Potential Impact of the Operation on Maritime Trade. Identification of potential impact on maritime trade is essential in the planning phase. In particular, NCAGS has to find a solution to avoid or minimize the impact as much as possible. The main aim must be a successful execution of the operation with a minimum impact on maritime trade. This process can result in advice and guidance to merchant shipping. The role of merchant ships in operations and their adherence to military commander's guidance or instructions will usually be voluntary.

i. Liaison and Engagement. NCAGS requires regular liaison and engagement with merchant shipping civil actors at strategic, operational, and tactical levels. These will be sources for the NCAGS information process (see Paragraph 0402) and audiences for advice and guidance (see Paragraph 0404). SO NCAGS must coordinate with other staff cells to develop plans in order to achieve consistency and avoid duplication. An engagement matrix such as that at Annex 3A will identify who is authorized by the operational commander to engage and liaise with whom.

j. NCAGS Information Process. The NCAGS information process enhances the commander's decision making and the effective and efficient commitment and use of military assets (see Paragraph 0204). The information required and the sources from which it can be obtained should be addressed in the plan together with the scale of effort. Basic shipping information is collected by the NSC through a variety of means; more complex requirements may necessitate the deployment of teams in theatre. The NCAGS information process is described in Paragraph 0402.

k. Requirement for a Vessel Reporting Scheme (VRS). A VRS (which in certain operations may be made compulsory) is an aspect of the NCAGS information process. It is a means of gathering positional and other information about merchant ships and contributes to the picture. Annex 3B outlines factors that should be examined when the introduction of a VRS is under consideration. Although information might be available from other sources, the introduction of a VRS has an effect in signifying to merchant shipping the operational commander's interest in merchant ships in the AOO. Its use should therefore be considered in the planning process. The RMP planner should be consulted about how VRS data can be included in—or supplement—the surface picture. Considerations related to the introduction of a VRS are shown in Annex 3B.

l. Provision of Advice and Guidance to Merchant Shipping. By advising and providing guidance to merchant shipping, the commander builds trust and achieves influence. In the planning phase, the audience, content, and means of delivery should be examined to ensure all merchant shipping sectors that require information get the information they require. Paragraph 0404 describes this process for the provision of advice and guidance to merchant shipping along with roles, such as single point of contact (NSC), and responsibilities, such as ensuring the dissemination of information to ships at sea (AWNIS).

m. AWNIS. As outlined in Paragraph 0203, AWNIS is the primary means for the delivery of safety and security of navigation information to all ships at sea during a maritime operation and meeting obligations any under SOLAS. NCAGS planning should be aligned with the AWNIS plan.

n. Civil Infrastructure. Merchant ship operations are supported by a civil infrastructure which includes WWNWS, Maritime Rescue Coordination Centres (which lead search and rescue in the relevant AOO as outlined in ATP-10, pilots, and vessel traffic services. The identities, locations, and capabilities of the existing civil infrastructure in the AOO will need to be ascertained, and liaison may need to be established.

o. Flags of Interest. Nations of participating ships may provide extra restrictions and requirements for safety and security. For planning purposes it is necessary to staff these aspects carefully. Consequences may supersede the operational level.

p. Equipment. Equipment requirements will be determined by the type of operation and the level of support to the MCC and locations of NCAGS elements. The requirements are likely to change as the operation evolves.

q. Communications and Information Systems (CIS).

(1) NCAGS can only achieve its effects if information can be exchanged between military authorities and merchant shipping. In common with most military disciplines, it therefore relies heavily on CIS to effect command and control, pass and access data, and disseminate information. The potential need to utilize both secure and non-secure military and commercial communication channels for widely dispersed NCAGS elements may make NCAGS communications particularly complex.

(2) The NCAGS CIS requirements will be determined through consultation with the MCC communications staff officer and will be driven by the scope and scale of the operation. Communications will be required with both military authorities and merchant shipping.

(3) Detailed information is available in ATP-02.2.

5. NCAGS Structure.

There is no standard NCAGS organization, but NCAGS is tailored to support the operational commander's mission in the most efficient and effective way, depending on the character of the actual operation. The actual NCAGS elements are to execute NCAGS plans and tasks in a timely and accurate way, keeping the commander's mission in mind at all times.

The following organic elements are identified.

a. The commander is responsible for his mission and therefore has overall responsibility for all NCAGS taskings and activities.

b. The SO NCAGS executes NCAGS and directs NCAGS organization tasks on behalf of the commander for all NCAGS aspects and activities. This includes NCAGS planning, preparation, execution, evaluation, and organizational NCAGS matters.

His primary tasks are to make sure that:

(1) The commander's mission is supported in the best way.

(2) The operational tasking message (OPTASK) NCAGS and NCAGS-related directives are drafted.

(3) The NCAGS plans and tasks are effective and up-to-date.

(4) All members of the NCAGS staff, including Deployed NCAGS Elements, are fully informed about the actual NCAGS plans and tasks.

c. The Deployed NCAGS Element(s). If the situation requires, or other factors will improve the execution of the commander's mission, DNE can be used. The assignment and tasking will be decided by the commander, but initiated by the SO NCAGS. The SO NCAGS is responsible for the size, composition, and tasking of the assigned DNE. These are directly responsible to the SO NCAGS and may have the following tasks.

(1) Local coordination of merchant shipping.

(2) Local/area information gathering concerning merchant shipping/trade.

(3) Briefing/debriefing of masters.

(4) Liaison with masters during merchant ships movements.

(5) Support and/or control of group transits of merchant ships and convoys.

(6) Provision of Liaison Officers, if required.

d. NATO Shipping Centre Augmentation Element. The complexity of an operation may require an augmentation of NCAGS personnel to the standard manning of the NSC.

e. The NCAGS manning will be determined by factors such as the task assigned, the complexity and volume of shipping, the duration of the operation, size of the AOO, and used locations. For detailed information concerning job descriptions and required skills, see ATP-02.2.

ANNEX 3A Engagement Matrix Example

The following example is for illustration purposes only; the engagement matrix must be designed to reflect the needs of each operation, and additional information should be added, or requested, where this is appropriate.

	Unit Responsibility			
Organization	N2	CIMIC	NCAGS	AWNIS
IMO	X	X	L	X
International Chamber of Shipping	X	L	X	
Hydrographic Office			L	
Mission to Seafarers			X	L
Owner	X		L	
Flag state	X	L	X	
Port authority	X	L	X	X
Ships agents	X		L	
Etc.			X	

L = unit is lead for engagements.

X = unit has interest.

This matrix has to be further developed at the tactical level into a well detailed contact list at every participating unit in the NCAGS organization. The following is an example of the required details:

1. Organization.
2. Postal address.
3. Point of contact.
4. Telephone numbers, fixed and mobile.
5. E-mail address.
6. Fax number.
7. Web page, if any.
8. Any possible remarks.

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ANNEX 3B Considerations Relating to the Introduction of a Vessel Reporting Scheme

B301 Automatic Systems

Merchant ship positional information can be obtained through a number of automatic systems. These include:

1. **Automatic Identification System (AIS).** Sources include terrestrial and satellite receivers.
2. **Long Range Identification and Tracking (LRIT).** An IMO-sponsored system; flag-state approval is required to access data.
3. **INMARSAT C Polling.** A commercial service that permits a user to receive an automatic transmission of positional information from a merchant ship as a single report or at fixed intervals.
4. **Fishing Fleets Tracking Systems (also called “Blue Box”).** Usually nations have a national system providing positional information of fishing ships to their Fishing Monitoring Centres.

B302 Vessel Reporting Scheme

A VRS, which involves the proactive manual cooperation of a merchant ship’s master, may be established instead of, or alongside, the automatic systems. Details of a VRS, how it operates, what it entails, and the methods of data collection are at Annex 4B. The factors outlined below should be considered when evaluating the merits of data that can be obtained through the introduction of a VRS against data that can be obtained via automatic systems. Automatic systems may not provide comprehensive positional data for a variety of reasons including:

1. **The Availability of AIS Data.** Merchant ships operating in deep water may have AIS on, but the transmission will not be picked up unless there is a receiver within the very high frequency (VHF) range. Satellite or maritime patrol aircraft (MPA) coverage may be available to overcome this restricted coverage. While MPA availability is limited, satellite position is updated periodically as satellite footprint passes on top of the area. This pass usually happens every 4–6 hours.
2. **Non-Transmission.** Masters are able to turn AIS off if they feel transmission compromises the safety and security of their vessels.
3. **Spoofing.** AIS data may need to be authenticated before it can be fully relied upon. Some errors may be innocent, such as a master forgetting to change his destination; others may be a deliberate attempt to mislead, such as by offsetting positions.
4. Access to LRIT data requires negotiations with flag states in order to gain permission either to poll their ships’ positional data or to directly request that data.
5. **Limited Data.** Data fields are limited and may not include all the information required to support the operational decision-making process. In particular, intended movements (waypoints) may not be up-to-date, which is of importance when there is a need to predict merchant ship movements.
6. **Use.** AIS is only required for ocean going vessels over 300 GRT and all passenger ships on international voyage. This may result in fishing vessels, yachts, and local craft being excluded from automatic detection and therefore, give an incomplete picture.

B303 Advantages of a Vessel Reporting Scheme

The major advantages of a VRS over automatic systems are that:

1. It can be configured to exactly match operations requirements by asking for specific information over and above the standard ship details (e.g., route/speed, etc.), which will directly enhance situational awareness.
2. In certain operations, communications security (COMSEC) may require merchant ships to turn off AIS and other electronic emitters. A VRS will make it possible to maintain a plot over the ship's intended route and ascertain its approximate position by dead reckoning.
3. In certain operations, it may be used to distinguish which merchant ships are participating merchant ships.
4. It has an information operations effect. A VRS indicates the commander's interest in merchant shipping factors in the AOO and establishes contact with merchant ships. It thus assists in the building and maintenance of trust and serves as a basis for collaboration and coordination. A compulsory scheme is an indication of political will and interest in merchant shipping.

B304 Disadvantages of a Vessel Reporting Scheme

The disadvantages of a VRS are:

1. It is discretionary. Merchant ships can choose to participate or not; they are more likely to participate if there is a clear benefit to them, such as getting a comprehensive brief in return for reporting. When a VRS is voluntary, it is unlikely to provide a comprehensive picture.
2. The picture is based upon specified interval reporting (e.g., daily at noon) and, therefore, is not real-time. It is also based upon waypoints provided by the master, so the fewer waypoints, the less accurate the predicted track is likely to be.
3. It may require a number of personnel dedicated to introduce Format ALFA into the system used for NCAGS purposes.

B305 Dual Systems

If both VRS and automatic systems are used, there are likely to be discrepancies. For example:

1. The number and names of ships showing may vary. If few ships are using the VRS and all have AIS turned on, then the latter will show more contacts. If the threat is such that AIS is turned off and masters use the VRS in exchange for advice and guidance, then the automatic data processing (ADP) system will show more ships.
2. Ships' positions may vary. AIS gives real-time positional data. The VRS does not, and is based on the information provided by the merchant ships and the operator's ability to convert that data into an approximate track. Alternatively, tracking data may be omitted giving a time-tagged position only. This information can be supplemented through automated linkages to IHS Fairplay or similar databases and allows predictive plotting.

These discrepancies can be overcome using a system able to match AIS and Format ALFA information, the latest update—either AIS or Format ALFA/BRAVO—being kept in the system.

CHAPTER 4 Tactics, Techniques and Procedures

0401 General

This chapter describes the TTP that deliver the NCAGS effects described in Table 2-1. Consistent with the underlying flexibility of NCAGS, these TTP can be applied to a greater or lesser extent to meet commander's objectives as a situation evolves across the spectrum of conflict. Not all tactics, techniques and procedures need to be used in every operation. TTP are usually decided at the operational commander's level, and executed at the tactical level, with the first defining operational objectives and tasking, and the second defining which will further execute.

0402 The NCAGS Information Process

1. The successful planning and conduct of an operation requires the collection of sufficient information on friendly assets, neutrals, the adversary, and environment in order to build comprehensive situational awareness. NCAGS has a significant role to play in the collection of information through its contact with masters, owners, ports, and other components of merchant shipping worldwide.

2. The NCAGS information process is an area where the activities of the NCAGS and intelligence cells intersect. NCAGS has to be aware of the commander's intelligence requirements and how interactions and observations with merchant shipping can support the intelligence collection plan. This awareness can and should be developed by regular briefings and debriefings and close liaison with intelligence staff.

3. The need for proper information management should not be neglected. This will be conducted in accordance with the overall information management plan for the operation. It is essential to ensure that personnel are trained to apply the plan consistently.

4. NCAGS performs this role through the NCAGS information process, which consists of four stages: direction, gathering, processing, and distribution. NCAGS can provide unique information to fulfill some of the commander's critical information requirements in relation to merchant shipping. NCAGS must assess the accuracy and reliability of the information before sharing it.

a. Direction. The NCAGS information process takes its direction from the commander. The operation plan (OPLAN) gives direction and guidance for NCAGS information gathering, processing, and distribution. It is a product of the planning process and includes the commander's mission, tasks, and critical information requirements.

b. Information Gathering. Once direction is received, there are two information-gathering tasks: identify what information is required, and identify the authorized sources from which information can be obtained. The information that is required may be dynamic or static. It may be information about ships, ports, or key persons representing maritime organizations. Sources can be organizations (e.g., ports, companies, international organizations/NGOs), individuals (e.g., masters), or services (e.g., commercial databases, websites).

(1) Information-gathering Matrix. Annex 4A shows a sample information-gathering matrix which may assist with this stage of the NCAGS information process. In completing the table in preparation for a particular operation, it is essential that the information required and sources are identified in accordance with the direction for that operation.

(2) Coordination with Other Cells' Information-gathering/Collection Activities. Other cells (e.g., CIMIC, N2) may be using the same sources. Coordination is therefore essential to avoid duplication of effort and to maintain credibility with sources. Information requests to sources should be concise and thoroughly prepared to avoid overburdening them. This will assist in building trust between merchant shipping and the commander.

(3) Coordination with NCAGS Provision of Advice and Guidance Activities. Many organizations and individuals will be both sources of NCAGS information and audiences for NCAGS guidance and advice. It is therefore important to coordinate the gathering activity with the advice function. This will assist in building trust between merchant shipping and the operational commander.

(4) Activities. The information-gathering stage is likely to include activities such as:

- (a) Exploitation of subject matter knowledge, experience, and relationships.
- (b) Direct observation and investigation by deployed teams.
- (c) Information from human sources. Critical information will often come from human sources in merchant shipping such as masters and crews of ships who have transited an area of operations or individuals working in ports. It is important that when information is received, it is passed to the relevant intelligence desk for consideration.
- (d) Data mining via databases (such as Seaweb, Fairplay, and Marinetraffic), port websites, and shipping company websites that can be exploited, particularly with respect to the merchant shipping aspects.

(5) Picture Compilation. In every maritime operation, it is necessary to establish and maintain a picture of the surface, air, and subsurface situation in order to provide the commander with MSA. Merchant ship positional information constitutes part of the surface picture.

The commander has access to a number of systems and sensors that can be used for capturing merchant ship positional information. Examples include AIS, LRIT, and the units in the commander's force.

NCAGS can contribute to the surface picture through establishing and administering a VRS. Administering a VRS will constitute a significant NCAGS information-gathering activity. Annex 4B describes a VRS in more detail.

(6) Commercial Sensitivity. In gathering information and data regarding merchant shipping, the commercial sensitivity of much of what is collected should be appreciated and respected. This will assist in building trust between merchant shipping and the commander.

c. Information Processing.

(1) Processing Tasks. Processing is that stage of the NCAGS information process where raw information is converted into an intelligible form for further distribution and is ordered so that it can be retrieved. It consists of the following tasks: ordering, validation, and analysis. These can be performed sequentially or concurrently.

(2) Ordering. Ordering consists of procedures for receiving, collating, and storing NCAGS information so that it can be used and retrieved. The exact nature of these procedures will vary according to the nature of the operation, the information management procedure for the operation, and the volumes of information gathered by NCAGS. Examples of ordering tools are logs, databases, ship data cards (Annex 4C), and ADP systems (e.g., NAMESIS).

(3) Validation. The reliability and accuracy of incoming information should be appraised during processing, as it cannot always be taken at face value. The techniques that can be employed for validation will vary according to the circumstances. They may include assessing the credibility of the relevant source based on experience of other information provided by the source. Cross-checking of information available through a number of sources—including open sources—may also be employed.

(4) Analysis. In the analysis step, information that has been collected, ordered, and validated is examined for significant facts. It is essentially a mental process in which the knowledge, experience, and judgement of the analyst are critical.

(5) Vulnerability Assessment. Vulnerability assessment is an example of an NCAGS analytical activity.

(a) As part of the planning process, risk criteria are developed by the staff. NCAGS will undertake vulnerability assessments of individual merchant ships against these criteria. The criteria are operation-specific and can change. This effort will help maximize effective use of assets by the commander.

(b) By looking at key characteristics of a merchant ship, NCAGS may be able to identify those most vulnerable in relation to the threat. This assessment will assist the commander in making an informed decision on protecting those vessels. Schemes of management may need to be considered (see Paragraph 0405).

(c) Flag state vulnerability assessments of merchant ships may result in the assignment of Designated merchant ships.

(d) Examples of factors that could be considered in building vulnerability assessments include economic considerations, cargo, flag, last port of call and next port of call, nationality of crew and passengers, and ship characteristics (e.g., speed, lowest accessible point, drafts, manoeuvrability, etc.). An example of a vulnerability assessment format is included at Appendix 4E-4.

d. Distribution.

(1) General. In the distribution stage, processed NCAGS information is conveyed to those who need it. The guiding principles for distribution are:

(a) Timeliness—Information must be received before it loses its value and prior to any relevant deadlines.

(b) Use of suitable means—Information must be in a format that meets the need of the recipient and be sent by systems that are common to the sender and recipient.

(c) Clarity—Information should be clear and the distinction between facts and comments or interpretations clearly shown.

(d) Conciseness—Reports should be as brief as possible.

(e) Standardization—Standard formats should be used where possible.

(f) COMSEC—Information should be protected as required by the commander.

(g) In order to properly design the information exchange among users, the development of an Information Management Plan (IMP), including all possible means of exchanging classified and unclassified information, must be considered.

(2) Distribution within NCAGS Staff. To maintain situational awareness, processed information will first need to be distributed among the NCAGS organization. A number of products can be employed to achieve this (e.g., handover notes, phone logs, turnover briefs, daily operations log books, Sharepoint, Wise, etc.).

(3) Distribution to Deployed NCAGS Elements. Deployed NCAGS elements also need to be kept fully informed of the development of the operation and information required as a result of these developments. Communication with these elements may include daily emails, phone calls, updated assessments, and revised versions of the direction and guidance from the commander. Depending upon the content of the information, use of secure means may be a requirement.

(4) Distribution Within the Commander's Staff.

(a) Much of the information NCAGS collects has value to other staff components and must be forwarded in a timely manner to ensure it remains fresh and of value.

(b) Information should be distributed amongst the other staff components as appropriate via daily briefings and interactions. This will include email as well as face-to-face discussions.

(c) Examples of the types of products from other components to which NCAGS can contribute include:

(i) Surface picture—See Paragraph 0402.b.5.

(ii) CIMIC assessment—See AJP-3.4.9.

(iii) IPOE is conducted to support the commander's decisionmaking and is a continuous process. Gathering and continuously updating information on ports, port cargo-handling capabilities, port capacities, shipping lanes, ship types, fishing, and ferries is all relevant to IPOE.

(iv) AWNIS products (e.g., navigational warnings (NAVWARNs))—See Paragraph 0203.1.

(v) Intelligence products (e.g., INTSUM, INTREP, VOCI list, etc.).

(vi) Commander's assessment report (ASSESSREP).

(vii) Commander's direction and guidance.

(viii) Future plans.

(5) Distribution to Merchant Shipping. It may be necessary to distribute tailored information to merchant shipping. This forms part of the provision of advice and guidance to merchant shipping (Paragraph 0404.)

0403 Provision of Subject Matter Expertise to the Commander

1. NCAGS provides the commander with a body of subject matter expertise regarding merchant shipping generated and enhanced from:

a. The employment of personnel with background, experience, and training in merchant shipping operations.

b. Interfacing with merchant shipping and merchant ships both generally, and in the area of operations.

c. Conducting the NCAGS information process for the operation.

2. NCAGS subject matter expertise will support the commander in understanding:
 - a. The distinct characteristics of merchant shipping.
 - b. The impact of the general situation upon merchant shipping and maritime trade.
 - c. The impact of operations upon merchant shipping and maritime trade.
 - d. The impact of merchant shipping upon operations.
3. NCAGS subject matter expertise will ensure that the “voice” of merchant shipping is represented when advice is given to the commander. It is therefore important that NCAGS maintains a close relationship with other cells on the commander’s staff.
4. Within the staff, NCAGS will provide subject matter expertise to assist with responses to requests for information and planning the configuration of NCAGS TTP to meet commander’s objectives.

0404 Provision of Advice and Guidance to Merchant Shipping

1. The key NCAGS TTP is to provide guidance (including information, advice, and assistance) to merchant shipping. This is one of the principal means by which the operational commander can build trust and influence merchant shipping. It is essential to manage the process to ensure that these goals are achieved and the commander’s credibility maintained.
2. Provision of guidance and advice must be in accordance with the OPLAN and articulate what support is available from military resources. Advice and guidance must be provided in accordance with the authorizations provided in the engagement and liaison plan for the operation and in the engagement matrix (Annex 3A). Preparation of advice and guidance should consider three main factors: the audience, the content, and the method of promulgation.

a. Audience. Advice and guidance can be provided to a variety of audiences within merchant shipping, including:

- (1) National governmental and non-governmental, Allied and international authorities, and agencies.
- (2) The wider merchant shipping community, including shipping associations and representatives (Annex 1A).
- (3) Individual owners, masters, crews, and supporting agencies.
- (4) Port authorities and related agencies.

Cooperation by any of these authorities may be required in an operation, particularly at the higher end of the spectrum of conflict, and may influence the guidance a commander provides.

b. Content. The content of any guidance, advice, and assistance will be dictated by the situation and the operational commander’s direction. This will be based on relevant information in accordance with Paragraph 0402. Due to the requirement to build trust and maintain credibility, the following factors should be considered when formulating guidance and advice:

- (1) Concept of Operations (CONOPS).** The CONOPS outlines the commander’s concept of operations in respect to merchant ships. The mission mandate, resources, and rules of engagement (ROE) will determine how the commander interacts with merchant ships. It is important that

merchant ships are given a clear understanding of what they can and cannot expect from the commander. For example, ships should not be led to believe that protection is available to them if the commander does not have the necessary resources or rules of engagement.

(2) Consistency. Guidance and advice may be delivered by several individuals in a number of dispersed centres using a variety of methods. It is necessary to ensure that the content is authorized by the commander and is delivered consistently regardless of the deliverer or means of delivery.

(3) Operations Security. The guidance should not compromise operations security.

(4) Communications Security. COMSEC must be considered. Particular care must be taken with Q Messages (see AHP-01) which promulgate classified navigational information. Information contained in such messages can only be released to merchant ships after measures have been taken to ensure classified content is removed. Collaboration with other staff components such as intelligence and AWNIS is required.

(5) Legal Authorities and Liabilities. Advice and guidance must accurately portray the legal status of the commander with regard to authority over merchant shipping and merchant ships. The commander and NCAGS must be aware of potential liability problems that may occur following their interaction with merchant shipping. Collaboration with other staff components such as legal advisor (LEGAD) is required.

(6) Media Guidelines. It will be necessary to ensure that guidance is in alignment with the media messaging strategy and that media questions can be handled. Collaboration with other staff components such as public affairs is required.

(7) Conciseness. The guidance should be brief and concise, so it does not burden audiences with needless detail.

(8) Coordination. Advice and guidance should be coordinated with other sources such as IMO and the shipping industry to prevent conflicting advice being promulgated by either civilian or military entity. This will assist in building trust between merchant shipping and the commander.

(9) Timeliness. Advice must be timely to be useful to merchant shipping. Possible delays in the transmission of advice must be considered when selecting the method of transmission.

(10) Focused. The advice must be relevant, accurate, and tailored to the requirements of the merchant ship(s) in question.

c. Methods of Promulgation. Annex 4D outlines the principal methods by which advice and guidance can be promulgated to merchant shipping. In selecting the method, it will be necessary to determine whether advice and guidance is to be delivered to merchant ships generally (for example, due to SOLAS obligations) or to specific elements of merchant shipping or individual merchant ships.

(1) Contact from Merchant Shipping. The methods outlined in Annex 4D consist of ways in which the commander can deliver advice and guidance to merchant shipping. However, it should be anticipated that merchant shipping will independently contact the commander's staff or units to seek advice and guidance.

(a) The establishment of a SPOC with a toll-free INMARSAT number is an effective and efficient means of handling such contact which further assists in building trust in the commander. Experience suggests that merchant ships are far more likely to cooperate with military authorities if they have a single point of contact.

(b) Normally, the NSC should act as the SPOC. However, in the event that an equivalent organization already exists in the AOO that is able to handle this task, consideration should be given to working with that organization rather than setting up additional reporting requirements or parallel structures.

(c) In addition to handling questions from merchant shipping, a SPOC could offer additional services. For example, it could be responsible for managing a VRS or acting as an emergency point of contact for merchant ships. Further treatment of emergency incident response should be described in the OPLAN.

(2) Contact with Merchant Ships. When merchant ships are in the AOO, it is desirable to have a direct means of communication with these ships (e.g., for tactical purposes). Procedures, as laid down in the operations plan and OPTASK NCAGS, should be made on a case-to-case basis and promulgated to the merchant vessels in advance. For this purpose a reporting gate can be used and defined, as well as clear guidance on the use of Digital Selective Calling (DSC) using MMSI. When Deployed NCAGS Elements are in place, merchant vessels can be in direct contact with these elements.

(3) Publications. It may be necessary to issue NATO publications and equipment to merchant ships. Guidance should be sought when issue to non-NATO flag merchant ships is contemplated. A standard distribution method for unclassified publications can be a website, and when needed, user and password protected.

0405 Management of Merchant Ship Movements

1. General.

- a. Merchant ship movements are usually determined by commercial considerations in combination with other factors such as government regulations, safety, and security of navigation advice and environmental factors (e.g., weather). This situation is one of freedom of navigation.
- b. In certain circumstances, the commander may require merchant ships to be managed so that they move in accordance with his guidance or instruction. These circumstances can result from the appearance of a threat in the area of operations (e.g., piracy or sea mining). They can also result from a commander's mission.
- c. Management of merchant ship movements may interfere with freedom of navigation and should therefore be considered an interim solution. Commander's objectives are likely to include restoration of freedom of navigation (see Table 2-1).

2. Decision Making.

- a. In combination with operations information and intelligence, NCAGS information assists the commander in deciding whether to manage movements. NCAGS works alongside other staff components in making recommendations. There is no particular format for this process that is part of the daily staff routine and planning process.
- b. Factors such as MSA, threat assessment for the AOO, commander's operational requirements, merchant ship locations, and environmental conditions will influence the decision, along with the mission and objectives.

c. Authority over Merchant Ships. The commander's decisions will also be determined by his degree of authority over merchant ships. In accordance with SOLAS, the master is always responsible for the safe navigation of the ship.

(1) Usually, the commander relies on voluntary compliance. NCAGS contributes to this through building merchant shipping's trust in the commander through relationships, cooperation, and collaboration. NCAGS also assists in understanding merchant ship self-interest, which will also be a factor in ensuring voluntary compliance.

(2) The commander has greater authority to manage merchant ship movements within the AOO where this is granted by flag states or results from a specific mandate such as that establishing a maritime interdiction operation (MIO), i.e., UNSCR.

d. Protection of Merchant Ships. Management of movements is a means of protecting merchant ships. The operation's mandate, mission, and rules of engagement determine whether and how the commander can protect merchant ships from threats in the AOO. These factors may also be relevant to decisions about selecting a particular scheme of management.

e. Types of Schemes of Management. The commander also has to decide how movements will be managed. One or a combination of five types of merchant ship management schemes can be used: deconfliction, threat avoidance, routeing, passage coordination, and leadthrough.

(1) Deconfliction.

(a) The purpose of a deconfliction management scheme is to keep merchant ships away from particular areas where the commander's forces are operating. There may be no threat to merchant ships in this area, but deconfliction enhances the commander's freedom of manoeuvre by minimizing merchant ships' interference with operations and delays to merchant ships.

(b) For example, in a MIO, the goal of deconfliction is to ensure that innocent merchant ships navigate to avoid the MIO area. This permits forces to concentrate on those merchant ships that choose to enter it, which are likely to be of interest to the commander.

(c) The relevant guidance and advice is usually simple and clear. It consists of promulgation of the area to be avoided together with an explanation of the rationale. The NCAGS cell works with other staff components to determine the areas, i.e., Exclusion Zone.

(2) Threat Avoidance.

(a) The purpose of a threat avoidance management scheme is to keep merchant ships away from a particular threat or location. This may coincide with an area in which the commander's forces are operating, but does not necessarily have to do so.

(b) As with a deconfliction scheme of management, the relevant guidance and advice is simple and clear. It may consist of promulgation of the area to be avoided or of guidance relating to behaviour changes, such as changes in speed, depth, distance to shore, day/night, advised area, etc. An explanation of the rationale should also be included. NCAGS works with other staff components to determine the guidance.

(c) Due to the presence of a threat, it is important to remember the commander's obligations under SOLAS when considering what guidance and advice to promulgate and the means of delivery. It is important to ensure that information (particularly that disseminated through the Q message system) is treated in accordance with its classification. Close cooperation with the AWNIS cell is required.

(3) Routeing.

(a) The purpose of a routeing scheme of management is to ensure that merchant ships transit the AOO by particular routes determined and assessed by the commander's staff. These routes can be a means of reducing risks to the safety and security of merchant ships. They can also ensure that merchant ships move through areas or in directions that are known to the commander and can be observed through surveillance.

(b) Operational objectives determine the level of security attached to both routes and the manner in which they are promulgated. When, for example, the operational objective is to counter a low-level asymmetric threat, it might be decided to promulgate routes widely, making them available to all vessels, irrespective of flag, economic interest, nationality of the crew, etc.

(c) Responsibilities. The MCC is responsible inside his area of operations for establishing, maintaining, and promulgating a system of routes to meet operational requirements. NCAGS or any other warfare cell may identify the requirement for a route. The route is created through consultation between warfare cells (including NCAGS) who consider the proposed route's possible impact upon operations. AWNIS, as the cell responsible for navigational safety, takes the lead in plotting the route and checking it for navigational safety before it is promulgated. See Appendix 4E-1.

(d) Legal Consequences. Normally, merchant ships use standard commercial routes (e.g., traffic separation schemes). If the situation requires deviation from these routes to diminish risks and threats to merchant ships, the commander creates a temporary route. This route is advised to merchant shipping as appropriate. Deviation from standard merchant routes can have legal consequences for merchant ships.

(4) Passage Coordination (Convoys, Group Transit).

(a) A passage coordination scheme of management is used to achieve coordination between the commander, his assets, and one or more merchant ships that intend to pass through an area or along a route. The purpose of the scheme is deterrence and/or protection (including mutual protection amongst merchant ships).

(b) Passage coordination can take a number of forms. For example:

(i) Merchant ships can be scheduled to pass through the area or along the route or part of the route *individually or in groups* at particular times (e.g., during daylight) when it is assessed that the hazard is reduced. The commander's forces may be present in the area or along the route, but will not be in company.

(ii) The movement of an individual merchant ship through the area or along the route can be coordinated so that it moves in company with one or more of the commander's assets.

(iii) Merchant ships can be coordinated to pass through the area or along the route as a group.

(iv) Merchant ships can be coordinated to pass through the area or along the route as a group and with one or more of the commander's assets.

(v) The movement of an individual merchant ship through the area or along the route can be coordinated, so that it moves in company with one or more of the commander's assets authorized to protect it.

(vi) Merchant ships can be coordinated to pass through the area or along the route in company with each other and with one or more of the commander's assets authorized to protect them.

(c) A number of terms are used to describe individual configurations such as group transits and convoys. AAP-6 defines *convoy* as *a number of merchant ships or naval auxiliaries, or both, usually escorted by warships and/or aircraft, or a single merchant ship or naval auxiliary under surface escort, assembled and organized for the purpose of passage together*. An *escort* is a unit assigned to accompany and protect. Care must be taken to ensure the terms used are well-understood.

(d) The form of passage coordination selected is determined by the situation. Each form can be configured in a number of ways, and the factors outlined at Appendix 4E-2 Passage Coordination will assist in designing the exact arrangement.

(5) Leadthrough.

(a) The purpose of a leadthrough scheme of management is to minimize the risk to merchant ships transiting potential mined areas and to facilitate the liaison between these ships and the on-scene commander for safe navigation.

(b) NCAGS, in coordination with other cells, particularly the mine countermeasures tasking authority (MCM TA) and AWNIS, identifies whether leadthrough is required and to design the scheme of management.

(c) Tasks. The following tasks are conducted in preparation for a leadthrough and are led by other cells with NCAGS support:

- (i) Identifying potential mined areas of concern to merchant ships.
- (ii) Making recommendations on leadthrough to the commander in conjunction with the MCM TA.
- (iii) Establishing procedures for embarking NCAGS LOs.
- (iv) Briefing masters on leadthrough procedures including:
 - a) Rendezvous position and time.
 - b) Leading ship's details.
 - c) Communications.
 - d) Self-protection measures.
 - e) Emission control (EMCON) requirements.
 - f) Transit information (in conjunction with MCM TA).
 - g) Subsequent passage instructions.

0406 Notification to Merchant Shipping

1. If the commander decides to manage merchant ship movements, and a scheme of management has been selected, merchant shipping must be notified. The considerations outlined in Paragraph 0404(b)(c) apply to the content and means for delivery of the notification. It is important to determine whether notification is general or to selected merchant shipping (e.g., certain flag states) only.

2. The following points may require covering in the notification, depending on the scheme of management:

- a. Communications with the commander's forces.
- b. EMCON.
- c. Self-protection measures.
- d. Emergency procedures.
- e. Threat assessment.
- f. Procedures for diversion.
- g. Geographical area and limits.

0407 Fishing Vessels

1. A commander may wish to introduce some degree of management of fishing vessel movements and activities, both in transit and while actively engaged in fishing, for one or more of the following reasons:

- a. To keep fishing vessels clear of military sensitive areas, such as submarine operating areas and noise-sensitive areas, where towed arrays of underwater listening devices may be employed.
- b. To avoid areas where enemy forces may be deployed, including mined areas.
- c. To maintain a plot, as far as practicable and convenient, of all fishing activity.
- d. To ensure as far as is practical, that fishing fleets continue to provide for national needs and with minimum disruption.

2. In advising the commander, it is important to understand how fishing vessel behaviour, communications, and operations differ from those of other merchant ships. In designing the scheme of management and determining the means of notifying fishing vessels, these differences must be borne in mind.

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ANNEX 4A NCAGS Information-Gathering Matrix Example

The following example is for illustration purposes only; the information-gathering matrix must be designed to reflect the needs of each operation.

	IHS Fairplay	Coastguard/ Coastal Administration	Port Authority	Ship
Status of Berths			X	
Main Shipping Lanes	X			
Status of NAVAIDS		X		
ETAs/ETDs			X	X
Ship Length	X			X

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ANNEX 4B Vessel Reporting Schemes

1. A VRS is established when the commander promulgates a request to merchant ships to provide a Format Alfa/Bravo, normally through a single point of contact when they reach a reporting boundary or timeline, which can be represented as:

- a. Lines of latitude and longitude, (e.g., 600 nautical miles outside the AOO).
- b. A time in advance of arrival at a point (e.g., the boundary of the AOO). Ships are invited to report 36 hours (for example) before entering the AOO.

Format Alfas/Bravos are explained in Annex 4C. See Paragraph 0404(c)(2) for information about single point of contact.

2. The request is normally promulgated by navigational warning (NAVWARNs), which should be short and clearly reflect the requirements. As NAVWARNs are transmitted to NAVAREAs, ships will receive the request well in advance before entering the area of interest (AOI) boundaries. It should contain the following details:

- a. Why the request is being made (operational background).
- b. The reporting boundaries (i.e., position at which ships should begin reporting).
- c. The frequency of reporting.
- d. The contact details of the entity to which merchant ships should report.

Review by LEGAD should be considered.

3. The Format Bravo Ship's Position Report (Appendix 4C-1) may be used for further reporting of position and movement by merchant ships (e.g., at noon each day while in the reporting area).

4. Data is reported by merchant ships by Format Alfa and Format Bravo Ship's Position Report as applicable and is captured in an ADP system (e.g., NAMESIS) from where it can be compiled with the recognized maritime picture. Modern systems are normally able to match this information with AIS data, so ships reporting formats are tagged as such, but tracked with AIS when available.

5. In order to maintain situational awareness, personnel responsible for the conduct of NCAGS should have access to the RMP. Where this is not possible and a separate display is maintained (for example, of data collected via a VRS only), it is important to understand the nature and causes of any variations between this and the RMP (see Para. B305).

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APPENDIX 4B-1 Integration of VRS Data into Surface Picture

The questions outlined below should be considered when a VRS has been established and is available for integration into the surface picture.

1. Have the RMP manager and the surface controller been made aware of ADP capabilities and limitations?
2. Has the RMP manager identified his information reporting requirements?
3. Has the operational directive RMP been consulted?
4. Has the OPTASK RMP been consulted?
5. Has the ADP reporting requirement been coordinated with the RMP and the battle rhythm?
6. Have any filtering requirements been identified, if any, so that only the information required by the RMP is being fed into it? (This will reduce ADP operator workload.)
7. What information does command require from merchant ships in the AOO?
8. What is the frequency of track update and deletion?
9. What are the filtering parameters? For example:
 - a. Responsibility for filtering process.
 - b. Flag.
 - c. Type of vessel.
 - d. Port of arrival/departure.
 - e. Intelligence requirements.
 - f. Geographical area.
 - g. Cargo.
 - h. Crew (nationality).
10. Have data validation criteria been set?
11. What data can be removed?
 - a. Time late. The difference between the time of the last contact report and current time.
 - b. Incomplete.
12. Have originating data sources been contacted to ensure data meets validation criteria?

13. How is data to be evaluated?
14. Is the source reliable?
15. How is data to be fused with the RMP? How are ambiguities to be resolved?
16. How are multiple reports of the same vessel from different sources (e.g., AIS and VRS) to be resolved? Options are:
 - a. Source. The identity of the source platform or sensor that has reported the contact serves as an indicator of fidelity for that track data.
 - b. Confidence level. Expression for the assessed veracity of the information associated with the track data. For example, this can be certain (CERT), probable (PROB), possible (POSS), or non (NON).
 - c. Time late.
17. How are track alert criteria and platform types (e.g., suspect (SUS), contact of interest)¹ to be applied in a manner compatible to the classification of the ADP system used by NCAGS to manage merchant ship data, and how are they to be reported?
18. How are incidents to ships being introduced into the RMP and monitored?
 - a. Validation criteria of these incidents.
 - b. Expiration date-time group (DTG).

¹ Refer to NATO RMP SOP for full description.

ANNEX 4C Ship's Data Card

1. A Ship's Data Card (SDC) comprises some of the information listed in Paragraph 5 below. A Format Alfa is the part of the information appearing in the SDC required for a specific operation, when such information is requested to merchant ships.
2. As a general rule the initial information (Format Alfa) requested from merchant ships should be kept as short as possible and be limited to the information determined to be essential to commander's objectives. Paragraph 5 below shows sample fields from which a selection can be made. Subsequent reports should be limited to positional information and any changes to the ship's programme (Ship's Position Report, Format Bravo—see Appendix 4C-1).
3. With relevant data gathering from official databases (e.g., Lloyd's), the Internet, AIS, and other sources, as much fixed data about a ship as possible should be obtained without asking the master. The information request should focus on voyage-related information plus any additional commander's requirements. Cargo information should only be requested if essential, as it is often commercially sensitive or, in the case of containers, impossible to give.
4. By asking masters to provide the minimum data provision to match the need, the likelihood of getting a positive response is greatly enhanced. Other fields can be added if there is a requirement; for example, freeboard/lowest point of access and service speed if vessels are at risk of being boarded illegally, or previous ports of call, if required in maritime interdiction operations, to help identify suspect vessels.
5. Ship's Data Card Fields:
 - a. Ship's name.
 - b. International call sign.
 - c. Type of vessel.
 - d. Flag of registry.
 - e. IMO number.
 - f. Maritime mobile service identity (MMSI) number.
 - g. Ship's crew, including nationality.
 - h. Port of registry.
 - i. Overall length.
 - j. Vessel's width.
 - k. Maximum draft for present voyage.
 - l. Maximum air draft for present voyage.
 - m. Freeboard for present voyage.
 - n. Vessel's gross tonnage.

- o. Speed:
 - (1) Service speed.
 - (2) Maximum speed.
 - (3) Minimum speed.
 - (4) Critical speed.
 - (5) Time required to change engine configuration to move to maximum to service or minimum speed.
- p. Significant appearance of vessel for optical recognition.
- q. Name of communication stations being copied.
- r. INMARSAT telephone numbers.
- s. INMARSAT fax numbers.
- t. INMARSAT telex numbers.
- u. INMARSAT data numbers.
- v. INMARSAT email addresses.
- w. Other communication means, including email addresses.
- x. Intended movement—description of passage.
- y. Last port/country of call, including actual date and time of departure from last port.
- z. Next port of call, including estimated time of arrival at next port of call.
- aa. Current position.
- bb. Date/time and position entering the AOI.
- cc. Waypoints of intended track through AOI (date/time, latitudes/longitudes).
- dd. Position and date/time departing the AOI.
- ee. Name and address of ship owner, operator charterer, agent (if any), and company security officer.
- ff. Email address of the above.
- gg. Telephone number of the above.
- hh. Fax number of the above.
- ii. Quantity and nature of main/relevant cargo.
- jj. Shippers of main/relevant cargo (names and addresses).
- kk. Origin of main/relevant cargo.
- ll. Consignee of main/relevant cargo.

mm. Final destination of main/relevant cargo.

nn. Special queries appropriate to current operation, such as “State if any cargo/person being carried is subject to United Nations sanctions, by YES or NO (if the answer to the query is YES, then describe on a separate sheet).”

oo. Security measures ready to be implemented onboard.

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APPENDIX 4C-1 Ship's Position Report

The Ship's Position Report, Format Bravo, a periodic position report, should be sent when requested by military authorities, but usually once every 6-12-24 hours after the initial passage report (Format Alfa).

Ship's Position Report fields:

1. Vessel's name.
2. IMO number.
3. Course and speed.
4. Current position (at universal time converted (UTC)).
5. Any change to itinerary.

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ANNEX 4D Promulgation of Advice and Guidance to Merchant Shipping

D401 General Information

The various products used to promulgate advice and guidance to merchant shipping are outlined below. Refer to Paragraph 0404 regarding content and classification.

D402 Unclassified AWNIS Products

1. Short Term: Navigation warnings (WWNWS), VHF, AIS safety-related messages, synthetic AIS.
2. Medium Term: Notice to mariners.
3. Long Term: Charts, SOLAS publications.

D403 Websites

1. Although a website is an information pull mechanism, it is an efficient means to publish large amounts of information and advice to sizeable recipient audiences, which are able to search for information and consult reference materials. The NSC website (www.shipping.nato.int) should be the default option.
2. Many merchant ships at sea does not have continuous Internet access. The target audience for web-based information should be owners and shore-based organizations and agencies.
3. Websites can also provide additional functionality such as:
 - a. Restricting access to certain information in a password-protected area.
 - b. Registration of merchant ships (e.g., introducing Format Alfa/Bravo in connection with a vessel reporting scheme).
4. The content of websites can be controlled by the host, and there are no significant limitations on the amount of information provided (as is the case with WWNWS), which means that comprehensive information can be posted. However, there is no guarantee that the intended audience will consult the website or how often it will be revisited if consulted. Websites should therefore be used in conjunction with other methods of pushing information.

D404 Sailing Information

Sailing information (SI) is the primary tool used to provide updated information to masters covering safety and security, route, etc., as appropriate. It is usually provided daily and is complemented by other methods (e.g., NAVWARNs, websites). An outline is shown at Appendix 4D-1; sailing information should be amended as necessary to meet specific operations requirements and the needs of individual merchant ships. Extracts from the sailing information should form the basis of (and a record of) a telephone or face-to-face briefing.

SI should not be mistaken with Passage Coordination Information (PCI), which complements this SI, and provides details when sailing in company or in a specific ordered disposition. When only coordinated transits are planned, PCI can replace SI. But it has to be cautiously considered to avoid ships transiting on their own outside of a predefined route being left without specific instructions.

D405 Face-to-Face Briefings

1. A letter of introduction will be provided by the commander and should be presented at the beginning of a face-to-face briefing. See Appendix 4D-2 Letter of Introduction for an approved template.
2. Face-to-face briefings allow detailed information to be conveyed and provide the opportunity for questions, the provision of reassurance, and the gathering of information about the previous voyage. It also allows the briefing of sensitive information that should not be communicated over an open line.
3. Face-to-face briefings require the use of briefing teams (e.g., in ports). As individual briefings can be potentially resource-intensive, on some occasions relatively few vessels in port will be briefed in this way, given short turnaround times, etc. However, if a face-to-face briefing is the only or best means of conveying information securely, the benefits of a safe voyage will outweigh the costs. In case needed, vessels to be briefed must therefore be prioritized, possibly according to risk.
4. If it is not feasible to brief merchant ships in transit, face-to-face briefings should always be considered in conjunction with a method of expanding the audience as widely as possible. Failure to do so could result in SOLAS obligations not being met.
5. The sailing information outline (Appendix 4D-1) should be used to prepare the briefing and to provide an unclassified written summary for the master of the ship as well as a record for NCAGS.

D406 Telephone Briefings

1. Depending on the situation and nature of the information to be exchanged, telephone briefings may be the most effective and immediate means of exchanging immediate and urgent information with a specific master, such as one entering a higher risk area. The briefing should follow the sailing information outline (Appendix 4D-1).
2. Used in conjunction with a checklist of information required whenever an incident is being reported, data gathered via telephone briefings can be vital in assisting the commander to assess the risk and assign assets to investigate, if appropriate. It also helps the master take appropriate action if he is aware of the likelihood of, and timescale for, assistance.
3. There is a specific requirement in training naval personnel in NATO and National Shipping Centres to train personnel in exchanging information with merchant ships.

D407 Email

1. Most merchant ships have access to email, even if they make use of telex as a carrier, in which case the owners may need to set up permission for NCAGS to communicate with ships. Whilst ships may not continuously monitor email, it is nevertheless a good way of sending sailing information and responding to routine reports and questions. Ship owners or managers may need to instruct merchant ships to increase the frequency of connection for reading emails, especially if emails are based on transfer at specific times.
2. Email can also be an effective method of drawing the attention of registered users to new postings on a website.
3. Most Company Security Officers regularly monitor emails as a function of business and should be included as recipients for emails affecting their ships' movements. However, it has to be understood that daily working email traffic can be so intense that important emails can be skipped. Whenever vital communications are to be established nothing can replace a previous phone call.

D408 New Media

The methods above could be augmented by types of new media (e.g., chat rooms, Internet forums, and social networks). The use of these media should be considered when planning promulgation methods.

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APPENDIX 4D-1 Sailing Information

4D1.1 General

1. The following outline is provided as guidance to illustrate an acceptable form and type of content for SI, the primary tool for providing information to merchant ships. It should be adapted for the situation and merchant ship.
2. Classified information should not normally be included. If, exceptionally, classified information must be included, then the SI must be handled and destroyed in accordance with current security regulations.
3. The SI for an operation should be reviewed by LEGAD who may wish to include a legal statement or disclaimer.

4D1.2 Outline

SAILING INFORMATION:

DTG:

VALIDITY

***Note.** Area or route covered describes the part of the voyage where the SI applies.*

GENERAL SITUATION:

***Note.** Threat/risk to merchant ships, incidents, military presence, etc.*

ROUTE:

During passage you are advised to pass through the following positions:

POSITION DESIGNATOR/WAYPOINT	LAT/LONG	REMARKS
1.		
2.		
3.		
etc.		

- 1.
- 2.
- 3.
- etc.

***Note.** To be used if advice is offered on specific routes, but note there needs to be a clear distinction between PCI and SI. In those cases where a PCI is a requirement, there may be a need for both documents.*

SPECIAL ADVICE/PROCEDURES:

1. COMMUNICATIONS.
2. EMISSION CONTROL.
3. SUSPICIOUS SIGHTING PROCEDURES.
4. SPECIAL REPORTING PROCEDURES (e.g., EMERGENCIES).
5. PROCEDURES FOR NOTIFICATION OF CHANGES TO ROUTE OR DESTINATION.
6. SUMMARY OF NAVWARNS.
7. SELF-PROTECTION MEASURES.
8. NAVAL UNITS IN THE AREA AND WAYS OF COMMUNICATING WITH THEM.

***Note.** To be used as applicable.*

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APPENDIX 4D-2 Letter of Introduction

[Address]
[Contact details]

[Date]

[Master's Name]
[Vessel Name]

Dear [Master's Name],

This is a letter of introduction to the naval cooperation and guidance for shipping (NCAGS).

The aim of NCAGS is the safe arrival of merchant vessels at their respective destination(s) during a crisis situation and in a region of heightened tension. Additionally, we assist merchant shipping to avoid interference with military operations. To facilitate that end, NCAGS personnel provide liaison between military authorities and merchant vessels.

Merchant vessels can participate in NCAGS activity on a voluntary basis as guided by their national shipping authorities (NSAs), owners, operators, or charterers. Further information on NCAGS can be found in ATP-02.1, which can be downloaded from the NATO Shipping Centre (NSC) website: www.shipping.nato.int.

Please note that all information given is for assistance and guidance only, and shall be used at your own discretion and in agreement with your ship's owners and operators.

The purpose of this briefing is to exchange information with you. NCAGS briefing officer will provide you with a report on the current situation in the region, as well as routeing advice based on navigational hazards of a military nature. In turn, you will be asked a few questions regarding your voyage and ship's characteristics. This information will enable NCAGS to provide you with further assistance if the situation deteriorates.

The briefing team scheduled to meet with you consists of the following personnel:

[Name and number of identity card]

Your cooperation in this matter is greatly appreciated. I wish you a safe and timely voyage.

Sincerely,

[Name]
[Rank]
[Position]

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ANNEX 4E Aides Memoires/Bridge Cards

The following aides memoires/bridge cards comprise a series of lists of questions and templates to be considered when conducting detailed planning for NCAGS. The lists are not all-inclusive, but offer sufficient flexibility to be adapted to meet the full spectrum of operational outputs, ensuring NCAGS remains capable of delivering effect in support of operational objectives.

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APPENDIX 4E-1 Routeing

Normally, the commander is authorized to establish and promulgate routes. When NCAGS is supporting the planning of a route, the following factors should be considered:

- a. Consider the operational objectives; is the degree of routeing proposed commensurate with those objectives?
- b. Consider the current tactical situation.
- c. Has AWNIS plotted and reviewed all proposed routes to ensure that proper passage planning principles have been applied; for example:
 - (1) Routes are in safe navigational waters before they are promulgated.
 - (2) Routes conform to the customary rules of the road.
 - (3) Extant navigational warnings have been considered.
 - (4) Routes are planned that provide the least economic impact to the vessel's original planned passages whilst maintaining safety at all times.
 - (5) Appropriateness of the proposed route for the ship types likely to be using them.
 - (6) Ship handling characteristics, especially manoeuvrability, Length Over All (LOA), and draft and airdraft.
- d. Consider the volume of traffic likely to be using the route.
- e. Establish unidirectional routes only.
- f. Assign each unidirectional route in the standard system a codename and each waypoint a letter designator in accordance with Subparagraph i.
- g. Have other warfare cells been consulted about the route's possible impact upon operations?
- h. Do not send classified routes by unclassified means.
- i. Do not establish waypoints that exceed 500 nautical miles.
- j. Consider responsibilities under SOLAS.
- k. Consider fishing activities in the area.
- l. Consider meteorological conditions in the area.

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APPENDIX 4E-2 Passage Coordination

4E2.1 Considerations

1. It should be noted that the escorting military asset(s) may not be in a legal position, according to international law, ROE in force, and national caveats, to actively protect merchant ships under attack. Their response may be possible under the international law pertaining to the inherent right for self-defence. ROE are established on the political/military level and forwarded to subordinate commanders.
2. There may not be enough military assets to accompany all merchant ships in the AOO. For that reason the maritime commander will have to prioritize ships. Normally CRS (RE/RE) ships, followed by Designated ships, and finally economic ships would be the operational objectives.
3. Passage coordination does not suspend the master's responsibility for the safe navigation of his ship. The merchant ships are not under military command or control of maritime units, but receive navigational advice and threat information during the group transit period.
4. Embarking NCAGS LOs on board a merchant ship does not change the legal status and obligations of the ship.
5. Passage coordination can be conducted with merchant ships sailing individually or by sailing merchant ships in groups through an area dangerous to shipping in the presence of naval units. See Addendums 1 through 4 to this appendix.
6. The military units in company shall not in any manner assume any liability to, or responsibility for, the navigation or the conduct of the merchant ships.
7. The need for NCAGS LOs must be considered along with additional items such as communications and crypto equipment, publications, charts, and other IT items.
8. Onward passage planning at the end of passage coordination must be considered for each ship. This may be either a continuance of a planned safe route or the ship may proceed as safe navigation permits.
9. Guidance should be sought from LEGAD as to whether merchant ships in coordination passage should be required to sign a legal agreement.

4E2.2 Tasks

1. If required, NCAGS will make a recommendation to the commander to establish passage coordination.
2. The SO NCAGS will obtain a list of Designated merchant ships. If short of assets, these ships will get priority for passage coordination over other participating merchant ships.
3. The SO NCAGS compiles the information on merchant ships considered eligible for passage coordination. Governing factors include designation status, value, and importance of the ship. On completion a list of eligible ships will be issued to the commander.
4. SO NCAGS liaises with other staff members to establish the number of naval units available for passage coordination, routes, assembly points, entry and exit points, schedules, etc. The commander promulgates the passage coordination.

5. The commander issues an OPTASK NCAGS change or a new OPTASK NCAGS, which explains the passage coordination procedures. Responsibilities and relations with naval units should be made clear. Short-term details such as the composition of a group of merchant ships or timing for schedules can be arranged in separate directives.
6. The SO NCAGS advises the commander on the deployment of NCAGS LOs, if necessary.
7. Merchant ships receive the Passage Coordination Information.
8. Where applicable, NCAGS liaise with the officer in tactical command or leading naval unit on the details for groups and schedules. This should include ships and voyage data. Ship recognition data is essential for the naval units.
9. SI should be issued for each passage coordination merchant ship.
10. If required, pre-sail briefings for merchant ships should be conducted.
11. Where possible, merchant ship masters should be debriefed and updated on the situation, including any onward routing by either the embarked NCAGS LO, naval units, and/or appointed NCAGS element.
12. NCAGS elements and NCAGS LOs report on group transit as instructed.

4E2.3 Implementation

- 1. Manning.** Depending on the form chosen, passage coordination will require an increase of personnel to the NCAGS staff. In particular when NCAGS LOs are used, the increase is substantial.
- 2. Equipment.** Portable communication and crypto equipment may be required for ships in group transit, including the naval units.
- 3. Communications.** The Deployed NCAGS Elements, must be able to communicate with the SO NCAGS and, if possible, with any naval units escorting or in company. Communications between naval units, the NCAGS LO, and merchant ships can take place on a designated VHF channel, preferably DSC, but other more discreet communications can be used (i.e., AIS text messages). EMCON restrictions may be recommended to the merchant ships, but this aspect needs careful consideration with regard to Global Maritime Distress and Safety System and other navigational safety aids.

ADDENDUM 1 TO APPENDIX 4E-2 Passage Coordination of Groups of Ships

1. Purpose. To make arrangements for passage coordination of groups of ships.

2. Considerations.

a. For the decision to implement passage coordination, the following considerations should be taken into account:

- (1) Threat assessment and/or risk characteristics.
- (2) Available military assets and their capabilities.
- (3) ROE—Possibilities for deterrence or protection.
- (4) Number of participating/designated merchant ships and their cargo.
- (5) Availability of an NCAGS element(s).
- (6) Availability of required number of NCAGS LOs.
- (7) Environmental conditions.
- (8) National instructions and restrictions for merchant ships.
- (9) Instructions and restrictions for merchant ships given by owners/companies.
- (10) Merchant ships' willingness to participate.

b. If required, merchant ships in passage coordination may be requested to sail in formation in order to improve safety and security during transit. See Addendum 2 to Appendix 4E-2 for details on formation and manoeuvring in Passage Coordination.

c. If ships are sailed in formation, they may still participate on a voluntary basis and may leave the formation at any time as long as it is safe to do so. Ships in formation may be required to agree by convention to follow the directives on formation and manoeuvring. See template at Appendix 4E-2, Addendum 4.

d. The decisions on group(s) size(s) and composition and the disposition of NCAGS LO is made by the commander in close liaison with NCAGS and the assigned naval unit(s), taking the following into consideration:

- (1) Types of threats.
- (2) Number of naval units and their capabilities.
- (3) Number of participating/Designated merchant ships and their cargo.
- (4) Manoeuvrability of the merchant ships.
- (5) Space to manoeuvre.

- (6) Environmental conditions/shipping density.
- (7) Availability of NCAGS LOs.
- e. Participating merchant ships not taking part in passage coordination should be routed individually as safely as possible.
- f. For the planning of the deployment of NCAGS LOs and, if required, communications personnel, the following considerations should be taken into account:
 - (1) Duration of the passage.
 - (2) Embarkation/debarkation options.
 - (3) Priority for assignment:
 - (a) Guide of the group.
 - (b) Line guides.
 - (c) Designated merchant ships.
 - (d) Other participating merchant ships.
 - (4) In case more NCAGS LOs are being deployed in a group, it is recommended to appoint one of the NCAGS LOs as the senior NCAGS LO, in charge of the manoeuvring of the merchants and the prime point of contact for naval unit(s).
- g. In a conflict, ships in passage coordination may be considered, under the law of armed conflict, as a convoy/legitimate target by opposing forces.

3. Responsibilities.

- a. The commander has overall responsibility for passage coordination.
- b. The commander is responsible for the tasking and performance of the NCAGS organization during group transit.
- c. The assigned NCAGS elements are responsible for providing necessary information to the merchant ships, coordination with the SO NCAGS and/or leading naval unit, the assembly of the groups, the provision of PCI, the organization of pre-sail briefings, and the disposition of NCAGS LOs.
- d. The leading naval unit is responsible for the execution of the passage from entry to exit point.
- e. The senior NCAGS LO is responsible for the liaison between the merchant ships and the naval units. If delegated to him, he is responsible for the formation and manoeuvring of the group.
- f. The masters of merchant ships are at all times responsible for the safe navigation and handling of their ships. A master should not hesitate to take any action if he considers that it would assist in avoiding collision. The senior NCAGS LO and the naval unit are not responsible for action or inaction of individual ships that results in damage. This applies even though the group may be manoeuvring in obedience to a signal. Conventions on the International Regulations for Preventing Collision at Sea apply throughout.

4. Tasks.

a. The SO NCAGS plans passage coordination. The SO NCAGS establishes a mechanism for merchant ships to report their intent to use the transit, and the number and type of naval units available.

Note. Merchant ships may be sailed in formation in order to improve safety and security. The preferred formation for merchant ships is a single column with positioning at a safe distance from each other, taking cargo, size, manoeuvring, and other factors into consideration. If needed, formations with two or three columns may be used. Naval units operate as tactically required and are not part of the formation.

b. Routes, assembly areas/RV points, entry and exit points, schedules, maximum size of groups, and required number of NCAGS LOs must be established.

c. CRS (including RE/RE) ships are prioritized for passage coordination, followed by Designated merchant ships, economic ships, and others.

d. SO NCAGS informs the merchant ships in time on their participation and timing for passage coordination. Detailed information on assembly, schedule, formation, speed, manoeuvring, communications, and other directions are provided in the passage coordination information (PCI). (Addendum 3).

Note. Pre-sail conferences may not be practical due to the delay of the merchant ships and the inability for masters to leave their ships in this situation.

e. SO NCAGS assembles the merchant ships. The selected merchant ships will be advised either to use defined assembly areas or to approach at appropriate speed in order to form up for passage without delay. Groups should be organized in such a way that minimum delay is caused to any ship's passage. Groups should be at a manageable size.

f. SO NCAGS organizes the accommodation, disposition, embarkation, and disembarkation of NCAGS LOs.

g. In the event that naval unit(s) are in company or escorting, the leading naval unit normally executes the passage from entry to exit point. If required, it adjusts the schedule or formation. The leading naval unit manoeuvres the group of merchant ships and keeps the ships informed on the situation. The leading naval unit takes appropriate action on threat and incidents reports from the merchant ships. The leading naval unit may give advice on lighting measures, the use of communications, and EMCON. It is advised that the leading unit delegates formation and manoeuvring to the senior NCAGS LO during the transit.

h. After each passage, the leading naval unit and the senior NCAGS LO if present report to the commander as instructed.

i. The senior NCAGS LO liaises with the merchant ships and the naval units in company. This includes debriefing of merchant ship masters and provision of updates on the current situation, including any onward routeing.

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ADDENDUM 2 TO APPENDIX 4E-2 Formation and Manoeuvring in Passage Coordination

1. References.

- a. MTP-1, Vol. I.
- b. ATP-1, Vol. II.
- c. OPTASK NCAGS.

2. Purpose. To establish formation and manoeuvring instructions for passage coordination when ships are coordinated in groups.

3. Formation.

a. Group Formation.

- (1) During passage it is strongly advised to keep any group formation as simple as possible. Single column formations are recommended. If required, formations with two or three columns may be used. As a minimum requirement, it is advised to embark a NCAGS LO in each ship heading a column.
- (2) The distances to be kept between columns and between ships should be shown in the group formation plan issued to masters in their PCI.
- (3) For stationing it is advised to position larger ships ahead of smaller ships, to position ships with dangerous cargo at the rear, and to position ships with critical speeds or with difficulties in handling at the side or at the rear.

b. Guide of the Group.

- (1) One ship in formation will be designated as the Guide. It is the duty of the Guide to maintain accurately the course and the speed ordered. If ships are in single column, the leading ship will be the Guide. If for any reason the leading ship falls out of line, the ship directly astern of her becomes the Guide of the column.
- (2) If there are two columns in the group, the ship(s) which occupy the same position in their column(s) as the Guide in its column will become Line Guide(s) of their columns. The Guide must maintain the course and the speed ordered, and Line Guides of columns must keep correct station on the Guide. Ships in each column are to keep station on the Line Guides of their respective column.

c. Taking up Formation. When a group is forming, ships should place themselves as quickly as possible in their correct station relative to the guide of the group.

d. Stations. The first digit of the station in a formation is the column numbered from port to starboard. The second digit of the station is the position in the column numbered from front to rear (e.g., station 24 is the fourth position in the second column).

e. Station-keeping. Accurate station-keeping and, in particular, avoidance of being astern of station are of great importance to the safety of the group.

f. Man Overboard. A ship in passage losing a man overboard must immediately inform the group by quickest means. She will not try to pick him up, but the last ship in the column will try to do so. In all circumstances the leading unit will coordinate the action.

g. Time. All times in coordinated passage are to be expressed in UTC (ZULU).

4. Manoeuvring. For manoeuvring, see ATP-1, Vol. II.

ADDENDUM 3 TO APPENDIX 4E-2 Passage Coordination Information Format

Note. The format is provided as guidance to illustrate an acceptable form and content for the required PCI used in NCAGS. Classified information should not normally be included. Classified information may exceptionally be included, in which case the PCI must then be handled and destroyed in accordance with current security regulations.

This document can replace the Sailing Information when this is the unique way ships are being coordinated.

Passage Coordination Information

SHIP NAME (ONE): INTERNATIONAL CALL SIGN:

IMO: MMSI:

FLAG: SPEED:

FINAL DESTINATION:

SHIP NAME (TWO): INTERNATIONAL CALL SIGN:

FLAG: SPEED:

FINAL DESTINATION:

SHIP NAME (ETC.): INTERNATIONAL CALL SIGN:

FLAG: SPEED:

FINAL DESTINATION:

MILITARY UNIT (ONE): INTERNATIONAL CALL SIGN:

FLAG: SPEED:

MILITARY UNIT (TWO): INTERNATIONAL CALL SIGN:

FLAG: SPEED:

MILITARY UNIT (ETC.): INTERNATIONAL CALL SIGN:

FLAG: SPEED:

ENTRY POINT:

EXIT POINT:

MEETING POINT:

ETA TO MEETING POINT :

RENDEZVOUS POSITION:
point for individual transits):

RENDEZVOUS TIME (or ETA to intended

Note. Entry and exit points define the part of the voyage where the PCI applies.

GENERAL SITUATION:

Threat/risk to merchant ships, incidents, military presence, etc.

ROUTE:

During passage the group will pass through the following positions:

POSITION DESIGNATOR/WAYPOINT

LAT/LONG

REMARKS

1.

2.

3.

etc.

SPECIAL INSTRUCTIONS:

1. COMMUNICATIONS.

2. FORMATION.

3. STATIONS.

4. MANOEUVRING.

5. DISPOSITION OF NCAGS LOs.

7. REPORT SUSPICIOUS SIGHTINGS.

8. NOTIFICATION OF DIVERSIONS.

9. SUMMARY OF NAVWARNs.

ANNEX A: PROCEDURES FOR FORMATIONS, STATIONING, AND MANOEUVRING*Note. Provide merchants with necessary information about formations and manoeuvring taken from Appendix 4E-2, Addendum 2.*

ADDENDUM 4 TO APPENDIX 4E-2 Convention for Group Transit

1. Purpose of the Convention. The present convention aims at fixing the conditions for the group transit of merchant ships (“the mission”) by naval assets. It also stipulates the responsibilities of the master and the NCAGS organization with regard to the voluntary participation of merchant ships in the group transit of merchant ships.

2. Nature of the Mission.

a. The NCAGS organization acts to exchange information between military commanders and merchant shipping and to give military guidance, advice, or assistance to merchant shipping. Military operations at sea will frequently involve, or have some impact on, merchant shipping and, likewise, merchant shipping may affect those military operations. The aim of NCAGS is to deconflict. Cooperation between military and commercial shipping can minimize delays and potential effects of military operations on merchant ship movements. In addition, NCAGS assists merchant shipping to avoid interference with military operations.

b. The NCAGS organization is also in place to enhance the safety and security of merchant shipping in areas where there is a higher risk for merchant shipping. Advice and guidance will be given, and specific NCAGS procedures will be available to assist merchant ships and their masters.

c. One of those procedures is group transit of merchant ships. Group transit of merchant ships is a voluntary arrangement by which merchant ships can be organized for passage through an area of increased risk in company with military units.

d. An NCAGS member will brief and inform the master on the actual situation in the area. He will also explain the sailing information given by the NCAGS organization with regard to the group transit of merchant ships. He will also collect any information which is relevant for the goals mentioned above. In some cases an NCAGS LO can be embarked on board a merchant ship.

3. Geographical Limitations of the Mission.

[to be completed]

4. Responsibilities.

a. It should be noted that the escorting military unit(s) may not be in a legal position, according to international law and rules of engagement in force, to actively protect merchant ships under attack. Their response may be possible under the international law pertaining to the inherent right for self-defence or as a consequence of a specific mandate given.

b. For this mission [to be specified]

c. Sailing in group transit of merchant ships does not suspend the master’s responsibility for the safe navigation of his ship. The merchant ships will not be under military command or control of maritime units, but will receive navigational advice and threat information if applicable during the entire group transit period.

d. A master should not hesitate to take any action if he considers that it would assist in avoiding collision. Conventions on the International Regulations for Preventing Collision at Sea apply at any time.

- e. Embarking NCAGS LOs on board a merchant ship does not change the legal status and obligations of the ship.
- f. The NCAGS organization is not responsible for action or inaction by individual ships resulting in damage. This applies even though the manoeuvring during the group transit of merchant ships is in obedience to a signal.
- g. The NCAGS staff advises the merchant ships which are selected for group transit of merchant ships either to use defined assembling areas or to approach at appropriate speed in order to form the group without delay.
- h. The NCAGS staff will advise the master with regard to the practical arrangements for group transit of merchant ships (i.e., but not limited to speed, place in the formation, etc.).
- i. For that purpose SI will be issued by the NCAGS organization for each merchant ship. A template of an SI is annexed to this convention.
- j. Pre-sail briefings for merchant ships taking part in group transit may be conducted if required.
- k. The master agrees to adhere to the advice given in order to make group transit of merchant ships possible.
- l. The master may decide at any time to leave the group transit of merchant ships arrangement at any time. The master agrees to inform the NCAGS organization in such a case.
- m. The master provides the NCAGS staff with the following data:
 - (1) Flag and ownership.
 - (2) Cargo.
 - (3) Size.
 - (4) International call sign.
 - (5) Cruising and maximum speed.
 - (6) [To be specified].
- n. The naval assets will operate as tactically required and are not part of the formation.
- o. The NCAGS organization may advise that it may be better to restrict or cease the normal usage of ships' transmitters, navigational equipment, and other communication systems.
- p. Where possible, merchant ship masters will be debriefed and updated on the current situation, including any onward routeing.

For the Maritime Commander:

For the Shipping Company

The Master:

APPENDIX 4E-3 Remote and Face-to-Face Briefings/Access to Ports

MERCHANT SHIP CALLING/HAILING/BRIEFING TEMPLATE²

Proposed template (to be adapted):

OPERATOR/UNIT:

DTG:

REQUIRED DATA		RMKS
SHIP'S NAME (*)		
INTERNATIONAL RADIO CALL SIGN (IRCS) (*)		
IMO (*)		
MMSI (*)		
TYPE OF SHIP		Merchant (dry cargo, tanker, containers), passanger (RORO), fishing vessels, etc.
SHIP'S OWNER		
SHIP'S AGENT		
FLAG STATE (*)		
CAPTAIN'S NAME		
POSITION (*)		
COURSE		
SPEED		
LAST PORT OF CALL		
NEXT PORT OF CALL		
CARGO ON BOARD		
DATE-TIME GROUP (*)		Call DTG, if no other
TYPE OF INCIDENT (*)		Accident, attack, harassment Collect as much data as possible.
DAMAGES ON BOARD (*)		
DAMAGES TO PERSONNEL (*)		
# DEAD		Name and nationality
# WOUNDED		Name and nationality
REQUIRED ASSISTANCE		Towing, fire fighting, crew evacuation...
CONTACT DETAILS		
PHONE NUMBER (*)		INMARSAT or mobile
- (FAX NUMBER)		INMARSAT or mobile
- EMAIL (*)		

(*) Compulsory data

² Can be used either to register received phone calls or to prepare hailings/briefings. In this case, the type of incident will refer to the to-be-reported events, amplified with the sailing information. The shaded area will not be used.

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APPENDIX 4E-4 Vulnerability Assessment

1. What is the threat?
2. Where is the threat?
3. Are particular types of ships threatened?
4. Are there particular environmental factors to consider relative to the hazard:
 - a. Meteorological.
 - b. Oceanographic.
 - c. Natural features—e.g., chokepoints, chartered wrecks, sea lines of communication.
 - d. Human-enabled elements—e.g., traffic separation schemes, port infrastructure.
5. Are there particular vessel-related factors to consider relative to the hazard:
 - a. Freeboard.
 - b. Tonnage.
 - c. Speed (service maximum and critical).
 - d. Crewing.
 - e. Self-protective measures.
 - f. Design—dual hull, safety features.
 - g. Cargo (dangerous, vital, etc.).
 - h. Flag.
 - i. Draught.
6. Effects.
 - a. Personnel injury.
 - b. Infrastructure damage.
 - c. Environmental impact.
 - d. Economic impact.
 - e. Psychological impact (local and international).

Vulnerability Assessment Example

The following example is for illustration purposes only; the vulnerability assessment must be designed to reflect the needs of each operation.

[illegible]

APPENDIX 4E-5 Planning and Execution Checklist

1. Planning.

- a. Advise on all aspects of NCAGS and shipping matters, including NCAGS policy.
NCAGS input to planning and CONOPS.
- b. Advise on tasking of NSC as situation dictates.
- c. Draft and issue the OPTASK NCAGS in conjunction with other warfare disciplines in the battle staff.
- d. Provide advice on communications with merchant ships.
- e. Advise on whether to establish NCAGS elements; number of elements, location of elements, size of elements, tasking of elements.
- f. Advise on communication with NCAGS elements.
- g. Develop engagement matrix in cooperation with other relevant units.

2. Execution.

- a. Select risk criteria and conduct vulnerability assessment of ships.
- b. Liaise with port authorities as required.
- c. Liaise with LEGAD regarding SI content.
- d. Develop and manage VRS.
- e. Develop and keep up-to-date NCAGS information-gathering matrix.
- f. Integrate all NCAGS and shipping matters into daily briefs.
- g. Compile and maintain plots and records as required.
- h. Contribute to the ASSESSREP.
- i. Provide guidance and advice to merchant shipping.
- j. Liaise with civil shipping authorities on shipping matters as required.
- k. Issue EEP and COMSEC policy for merchant vessels as required.
- l. Promulgate routeing guidance.
- m. Allocate NCAGS LOs.
- n. Brief and maintain close liaison with the other staff components on NCAGS aspects relevant for other warfare disciplines within the campaign processes.

- o. Liaise with maritime shipping community in its broadest sense.
- p. Advise on merchant ship activities which may impact on:
 - (1) Embargo and MIO.
 - (2) Ensuring validity of the merchant ship element of the RMP.
 - (3) Protection of sea lines of communication.
 - (4) Crisis response shipping.
 - (5) Non-combatant evacuation operations.
 - (6) Humanitarian and disaster relief operations.
 - (7) Liaison for management of merchant ship movements and escorting.
- q. Integrate timewheel in accordance with battle rhythm.

CHAPTER 5 NCAGS Roles and Responsibilities

0501 Purpose

The purpose of this chapter is to outline NCAGS roles and responsibilities to assist operations planners to establish the appropriate manning requirements.

0502 Underlying Principles

In order to support the operational commander's mission in the most effective way, NCAGS manning must be tailored and flexible. Depending on the operational requirements, the roles described and the number of personnel can be tailored to fit the requirement or to establish a watch system. If required, assistants can be established at all levels without the need to describe these roles here.

0503 NCAGS Functions

1. The staff officer NCAGS (SO NCAGS) is located with the operational commander. The SO NCAGS provides support to the operational commander and the command team. Depending on operational requirements and the threat to shipping, SO NCAGS will normally need to be supported by a duty officer NCAGS (DO NCAGS), an NCAGS information knowledge manager (IKM), and an NCAGS information management operator (NCAGS IM OP).
2. Any reach-back team (RBT) will support and be tasked by the SO NCAGS. The RBT is likely to be located in the NSC headed up by an officer in charge (OIC RBT), with a team of DO NCAGS and IKM/IM personnel, depending on the operational requirements.
3. DNEs provide NATO's face-to-face engagement with merchant ships and shipping companies in key ports in or near the AOO. The DNE will be headed up by an officer in charge (OIC DNE) with a team of NCAGS and AWNIS personnel. The number, location, and manning of the DNEs will depend on operational requirements.
4. An NCAGS LO provides direct liaison between the merchant ship and the operational commander, as well as other organisations where appropriate. An NCAGS LO can be embarked on-board a merchant ship.

0504 NCAGS Roles and Responsibilities

1. Staff Officer NCAGS–OF3 - 4 Navy.

Reports to: MCC.

Role: The SO NCAGS acts as the subject matter expert (SME) in NCAGS matters on the staff of the MCC.

Principal Tasks:

- Leads and directs the NCAGS personnel in delivery of NCAGS effects
- Directs and oversees the compilation, analysis, and dissemination of data on merchant shipping and patterns of life within the operational area
- Assists in the deconfliction of military operations and merchant shipping

- Provides advice, reassurance, and guidance to merchant shipping and civil actors
- Assesses and advises the MCC on the implications of military operations on merchant shipping and on the options available for the management of merchant shipping
- Assists with planning of operations as required.

2. Officer in Charge Reach-back Team–OF3 - 4 Navy.

Reports to: SO NCAGS.

Role: The OiC RBT is an NCAGS SME who leads the information fusion element as directed by SO NCAGS.

Principal Tasks:

- Manages and leads the information fusion element
- If/when required, acts as a point of contact for merchant shipping in order to provide advice, reassurance, and guidance to merchant shipping and civil actors
- Contributes to MSA by collecting, processing, assessing, and disseminating information related to white shipping information
- Implements the management of merchant shipping movements
- Implements safety and security of navigation information as directed by the safety of navigation information coordinator.

3. Officer in Charge Deployed NCAGS Elements–OF2 - 4 Navy.

Reports to: SO NCAGS or OIC RBT as directed by SO NCAGS.

Role: The OiC DNE is responsible for the execution of the DNE functions in accordance with the OPTASK NCAGS.

Principal Tasks:

- Contributes to MSA by collecting, processing, assessing, and disseminating information related to local merchant shipping
- Manages the briefing and debriefing of merchant shipping
- Establishes and maintains liaison with local merchant shipping and civil actors.

4. Duty Officer NCAGS - OF1 - 3 Navy.

Reports to: SO NCAGS, or OiC DNE, or OiC RBT as directed by SO NCAGS.

Role: The DO NCAGS is an NCAGS SME responsible for supporting the SO NCAGS, the OiC DNE, or the OiC RBT, to deliver NCAGS effects.

Principal Tasks:

- Manages all NCAGS activities in accordance with the tasks detailed in the OPTASK NCAGS
- Establishes and maintains liaison with merchant shipping and civil actors
- Contributes to MSA.

5. NCAGS Boarding Officer–OF1 - 3 or OR5 - 9 Navy.

Reports to: OiC DNE.

Role: The NCAGS boarding officer is responsible for exchanging relevant information with merchant shipping and civil actors to enhance the safe passage of merchant shipping.

Principal Tasks:

- Provides masters with SI, emphasising up-to-date guidance for safe passage and information on the operational situation, including risk assessment, maritime safety information, self-protective measures, and specifics of any lead-through operations and passage coordination if in force
- Debriefs masters to collect relevant information from merchant vessels to enhance the operational commander's situational awareness.

6. NCAGS Liaison Officer–OF3 - 4

Reports to: OiC DNE, or as directed.

Role: Responsible for helping masters and other civil actors understand relevant naval/military requirements in addition to providing merchant shipping information to the operational commander. The NCAGS LO may be located within military units or civilian authorities and can be embarked on-board selected merchant vessels.

Principal Tasks:

- Be an official representative of the operational commander
- Obtains shared situational awareness and shared situational understanding
- If embarked on merchant vessel, assists the ship's management to understand tactical procedures, manoeuvring procedures, EMCON responsibilities, and general safety when operating with military forces.

7. NCAGS/AWNIS Information Manager–OR7–OF2 Navy.

Reports to: Senior information officer (SIO = branch-head NSC).

Role: The NCAGS/AWNIS information manager is responsible for the information life-cycle (ILC), maintaining data integrity, managing internal and external information flows, and managing the information infrastructure.

Principal Tasks:

- Issues and maintains operational information management (IM) plan

- Issues and maintains operational information dissemination plan (IDP)
- Supervises information flows and structure works
- Supports the information management officer/information management assistant (IMA)
- Cooperates with the information management officer/IMA to provide accessibility to relevant information infrastructure.

8. NCAGS/AWNIS Information Management Assistant–OR2 - 7 Navy.

Reports to: NCAGS/AWNIS iMgr.

Role: The NCAGS/AWNIS information management officer and/or the IMA is responsible for collecting, collating, processing, and disseminating information in accordance with the operational IDP.

Principal Tasks:

- Sets-up and maintains IM structure
- Ensures information flows in accordance with the IDP
- Collects data in a structured format, collates it into the IM structure, and processes it in order to create information as described in the IM pyramid
- Maintains MSA.

LEXICON

SECTION I—GLOSSARY

Term and definitions from AAP-6 are in italics.

area of operations. *An area defined by the joint force commander within a joint operations area for the conduct of specific military activities.*

convoy. *A number of merchant ships or naval auxiliaries, or both, usually escorted by warships and/or aircraft, or a single merchant ship or naval auxiliary under surface escort, assembled and organized for the purpose of passage together.*

crisis response shipping. *All shipping employed in support of allied military operations, including ships taken up from trade, chartered shipping and, when appropriate, national prepositioned ships.*

designated merchant ship. *A merchant ship with a special status that may give it priority over other ships for higher level naval cooperation and guidance.*

emission control. *Selective control of emitted electromagnetic or acoustic energy. The aim may be twofold: a. to minimize the enemy's detection of emissions and exploitation of the information so gained; b. to reduce electromagnetic interference thereby improving friendly sensor performance.*

escort. *In land operations, (a) unit(s) or element(s) assigned to accompany and protect one or several other units or elements.*

final destination. *In naval control of shipping, the final destination of a convoy or of an individual ship (whether in convoy or independent), irrespective of whether or not routeing instructions have been issued.*

immediately vital cargo. *A cargo already loaded which the consignee country regards as immediately vital for the prosecution of the war or for national survival, notwithstanding the risk to the ship. If the cargo is carried in a ship of another nation, then that nation must agree to the delivery of the cargo. The use of this term is limited to the period of implementation of the shipping movement policy.*

maritime interdiction operation. *An operation conducted to enforce prohibition on the maritime movement of specified persons or material within a defined geographic area.*

merchant ship. *A vessel engaged in mercantile trade except river craft, estuarial craft, or craft which operate solely within harbour limits.*

merchant shipping. *In naval cooperation and guidance for shipping, the complete commercial maritime industry, including the fishing industry.*

national shipping authority. *The organization within each Allied government responsible in time of war for the direction of its own merchant shipping.*

naval cooperation and guidance for shipping. *The provision of NATO military cooperation, guidance, advice, assistance and supervision to merchant shipping to enhance the safety of participating merchant ships and to support military operations.*

naval cooperation and guidance for shipping liaison officer (NCAGS LO). An officer assigned to fulfill a liaison function between naval cooperation and guidance for shipping and other commands or civilian contacts, usually on board a merchant ship.

participating merchant ship. A merchant ship taking part in naval cooperation and guidance for shipping.

protection of merchant ships. The employment of military forces or procedures to prevent or defend against offensive actions directed at merchant ships.

sailing information. A document used by naval cooperation and guidance for shipping to inform merchant vessels of the general situation in the operation area, advised route to follow through the area and special information regarding communications, emission control, notification of diversion, etc. This document may be delivered by email, fax, or by hand by a briefing officer depending on the situation and content.

shipping movement policy. The policy for the movement of merchant ships in the early days of war laid down in Military Committee documents.

staff officer naval cooperation and guidance for shipping (SO NCAGS). An officer who augments military staffs to provide expertise and advice to the command on naval cooperation and guidance for shipping matters as they affect the planning and execution of operations, commanders, and merchant shipping.

SECTION II—LIST OF ACRONYMS AND ABBREVIATIONS

AAP	Allied administrative publication
ADP	automatic data processing
AHP	Allied hydrographic publication
AIS	automatic identification system
AJP	Allied joint publication
AOI	area of interest
AOO	area of operations
ASSESSREP	assessment report
ATP	Allied tactical publication
ATS	Actual Transit Speed
AWNIS	Allied Worldwide Navigational Information System (or Service)
CEPC	Civil Emergency Planning Committee
CIMIC	civil-military cooperation
CIS	communication and information systems
COMSEC	communications security
CONOPS	concept of operations
CRS	crisis response shipping
DNE	Deployed NCAGS Elements
DO	duty officer
DSC	Digital Selective Calling
DTG	date-time group
EMCON	emission control
IDP	information dissemination plan
ILC	information life-cycle
IM	information management
IMA	information management assistant

IMO	International Maritime Organization
IMP	Information Management Plan
IPOE	intelligence preparation of the operational environment
IRCS	international radio call sign
LAP	Lowest Accessible Point
LEGAD	legal advisor
LO	liaison officer
LOA	length over all
LRIT	long range identification and tracking
MARCOM	Allied Maritime Command
MC	Military Committee
MCC	maritime component commander
MCM TA	mine countermeasures tasking authority
MIO	maritime interdiction operation
MMSI	maritime mobile service identity
MPA	maritime patrol aircraft
MSA	maritime situational awareness
NAC	North Atlantic Council
NATO	North Atlantic Treaty Organization
NAVWARN	navigational warning
NCAGS	naval cooperation and guidance for shipping
NSA	national shipping authority
NSC	NATO Shipping Centre
OiC	officer in charge
OPLAN	operation plan
OPP	operations planning process
OPTASK	operational tasking message

P&I	protection and idemnity insurance
PCI	passage coordination information
RBT	reach-back team
RE/RE	reinforcement/resupply
RMP	recognized maritime picture
ROE	rules of engagement
SACEUR	Supreme Allied Commander Europe
SDC	Ship's Data Card
SI	sailing information
SIO	senior information officer
SO	staff officer
SOLAS	safety of life at sea
SO NCAGS	staff officer naval cooperation and guidance for shipping
SPM	Self-Protection Measures
SPOC	single point of contact
TGOS	Transport Group Ocean Shipping
TTP	tactics, techniques and procedures
UTC	universal time converted
VHF	very high frequency
VRS	vessel reporting scheme
WWNWS	World-wide Navigational Warning Service

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