

# Contents in Overview

Contents in Details	11
References	385
Abbreviations	21
<b>Part I: Introduction</b>	25
Chapter 1: Setting the Scene: The Arctic	27
I An Introduction to Arctic Shipping	29
II An Overview of Arctic Law and Governance: Arctic Treaty or De-Centralised Governance Framework?	36
III A Proposal on How to Analyse the Arctic Regulatory Framework	39
<b>Part II: International Action</b>	59
Chapter 2: The International Law of the Sea and Arctic Shipping	60
I International Law Regulating the Oceans as <i>Res Communis</i>	60
II International Law of the Sea Regarding Vessel-Source Pollution	71
III International Law of the Sea and Effective Collective Action	79
IV Conclusion: International Law of the Sea as the Basis for Regulating Arctic Shipping	92

<b>Chapter 3: The IMO as an International Organization and the Regulation of Arctic Shipping</b>	<b>95</b>
I The Role of International Organizations	98
II The Regulations by the International Maritime Organization	104
III The Effectiveness of the Regulations by the International Maritime Organization	135
IV Conclusion: The Contributions of the International Maritime Organization to International Law of the Sea and Arctic Shipping	152
<b>Part III: Unilateral Action</b>	<b>157</b>
<b>Chapter 4: Canadian and Russian Regulations for Arctic Shipping</b>	<b>159</b>
I The Role of Coastal States in the Regulation of Arctic Shipping	159
II The Regulation of Shipping in the Canadian and Russian Arctic	175
III The Effectiveness of Unilateral Action	203
IV Conclusion: The Contribution of Unilateral Action to Arctic Shipping Regulations	214
<b>Part IV: Regional Action</b>	<b>217</b>
<b>Chapter 5: Regional Cooperation in the Circumpolar Arctic</b>	<b>219</b>
I Regional Cooperation Forums	221
II Regional Instruments Adopted by the Arctic Council	244
III Regional Collective Action	257
IV Conclusion: Regional Cooperation in the Arctic Regulatory Framework	268
<b>Part V: Private Action</b>	<b>271</b>
<b>Chapter 6: Ships' Classification and Arctic Shipping</b>	<b>273</b>
I The Role of Classification Societies	274
II The Classification Standards for Arctic Shipping	282
III The Collective Action Through Classification Societies	289
IV Conclusion: The Contribution of Classification Societies to the Regulatory Framework of Arctic Shipping	300

<b>Chapter 7: The International Marine Liability and Insurance Law in the Arctic</b>	<b>303</b>
I Marine Insurance and Liability Law	305
II Liability and Insurance Cover in the Arctic	321
III Marine Insurance Ensuring Collective Action	335
IV Conclusion: Contributions of Liabilities and Marine Insurance Law to the Regulation of Arctic Shipping	345
<b>Part VI: Conclusion</b>	<b>347</b>
<b>Chapter 8: Concluding Remarks on the Regulatory Framework for Arctic Shipping</b>	<b>349</b>
I Working Internationally and Collectively: International Law of the Sea	349
II Acting Unilaterally Rather than Collectively: National Regulations by Canada and the Russian Federation	351
III Cooperating Regionally: The Arctic Council	352
IV Private Ordering: Classification Societies and Marine Insurance Law	353
V Summary: Collective Action in the Arctic	355
<b>Chapter 9: Interactions and Dynamics Within the Arctic Regulatory Framework</b>	<b>357</b>
I Harmonising Standards	357
II Ensuring Implementation	362
III Participating in Law-Making-Processes	365
IV Managing Conflicts	366
V Pioneering New Regulations	370
<b>Chapter 10: An Outlook for Arctic Shipping Regulations</b>	<b>375</b>
<b>Case Law</b>	<b>377</b>
<b>Conventions and Legislation</b>	<b>379</b>

## Contents in Details

References	385
Abbreviations	21
<b>Part I: Introduction</b>	25
Chapter 1: Setting the Scene: The Arctic	27
I An Introduction to Arctic Shipping	29
1) Economic Expectations and Environmental Hazards	30
2) Shipping Routes Through the Arctic	32
a) The Northwest Passage	32
b) The Northern Sea Route	34
II An Overview of Arctic Law and Governance: Arctic Treaty or De-Centralised Governance Framework?	36
III A Proposal on How to Analyse the Arctic Regulatory Framework	39
1) Commons and the Arctic	39
2) Collective Action through the Arctic Regulatory Framework	43
a) Governance Theory	45
b) Regime Theory	47
c) Law as an Effective Collective Action Measure	49
aa) Promoting Effectiveness Through Legitimacy	50
bb) Promoting Effectiveness Through Compliance	53
3) Analytical Approach	56
<b>Part II: International Action</b>	59
Chapter 2: The International Law of the Sea and Arctic Shipping	60
I International Law Regulating the Oceans as <i>Res Communis</i>	60
1) Common Interests in International Law	62
2) The United Nations Convention for the Law of the Sea	65

II International Law of the Sea Regarding Vessel-Source Pollution	71
1) General Environmental Obligations	71
a) General Obligation to Protect the Marine Environment	72
b) General Protection Against Pollution	73
c) General Co-operation Obligations	74
2) Generally Accepted Rules and Standards	75
3) Regulations Addressing Vessel-Source Pollution	77
III International Law of the Sea and Effective Collective Action	79
1) State Consent and Community Interests in UNCLOS	80
2) Implementation in the International Law of the Sea	81
a) Implementation Through Flag States	82
b) Implementation Through Coastal States	86
c) Implementation Through Port States	87
aa) Port State Jurisdiction	88
bb) Cooperation of Port States	91
IV Conclusion: International Law of the Sea as the Basis for Regulating Arctic Shipping	92
Chapter 3: The IMO as an International Organization and the Regulation of Arctic Shipping	95
I The Role of International Organizations	98
1) A Short Introduction to International Organizations	99
2) A Short Introduction to the International Maritime Organization	102
II The Regulations by the International Maritime Organization	104
1) Regulating Pollution Prevention	106
a) Pollution Prevention through MARPOL	107
b) Pollution Prevention in Special Areas	109
2) Regulating Construction, Design, Equipment and Manning	111
a) CDEM Standards in SOLAS	112
b) MARPOL and Double-Hull Tankers	113
3) Regulating Navigational Issues	114
a) General Regulations	114
b) Navigational Safety in SOLAS	116
c) Routeing in the Arctic	118
4) Regulating Emissions	119
a) Emission Limits and Fuel Oils	120

b)	Energy Efficiency and the Reduction of GHG Emissions	121
c)	Ban of Heavy Fuel Oil in Arctic Waters	125
5)	Regulating Arctic Shipping	127
a)	The Adoption of the Polar Code	128
b)	Regulations in the Polar Code	129
c)	Shipping in Ice-Covered Areas and the Polar Code	132
III	The Effectiveness of the Regulations by the International Maritime Organization	135
1)	Legitimacy of Instruments by the International Maritime Organization	135
a)	General Remarks about the Legitimacy of International Organizations	136
b)	Adoption of Instruments in the International Maritime Organization	138
aa)	Membership and Participation in the International Maritime Organization	138
(1)	Member States	138
(2)	Non-State Actors	139
(3)	International Organizations	140
bb)	Decision-Making in the International Maritime Organization	141
(1)	Organs of the International Maritime Organization	141
(2)	Development of the Polar Code	143
(3)	Consensus and Tacit Acceptance Procedure	144
2)	Implementation of and Compliance with Instruments by the International Maritime Organization	146
a)	Inspection and Monitoring System	146
b)	Sub-Committee on Implementation	147
c)	Audit Scheme	148
d)	Port State Control and MoUs	149
e)	Implementation Efforts of the International Maritime Organization	151
IV	Conclusion: The Contributions of the International Maritime Organization to International Law of the Sea and Arctic Shipping	152

<b>Part III: Unilateral Action</b>	157
Chapter 4: Canadian and Russian Regulations for Arctic Shipping	159
I The Role of Coastal States in the Regulation of Arctic Shipping	159
1) Coastal State Jurisdiction in the Law of the Sea	160
a) Territorial Sea	160
b) Contiguous Zone	163
c) Exclusive Economic Zone	164
d) International Straits	165
e) Overview of Coastal State Jurisdiction	167
2) Shipping in Ice-Covered Areas	168
a) Geographical Scope: “Within the Limits of the EEZ” and Application to International Straits	169
b) Spatial Scope: “Where” Severe Climatic Conditions and the Presence of Ice Causes Exceptional Hazards to Navigation	171
c) Temporal Scope: Ice-Cover for “Most of the Year”	172
d) Functional Scope: “Due Regard to Navigation and the Preservation of the Marine Environment”	173
e) Overview of the Scope of Art. 234 UNCLOS	174
II The Regulation of Shipping in the Canadian and Russian Arctic	175
1) Canadian Arctic Law and Policies	175
a) Legal Status of the Canadian Arctic Archipelago	176
aa) The Canadian Northern Territories	177
bb) The Archipelago as Historic Waters	179
cc) The Drawing of Straight Baselines Around the Archipelago	181
dd) Passage through the Northwest Passage	183
(1) The NWP as an International Strait	183
(2) Innocent Passage Through the NWP	185
b) Canadian Arctic Shipping Regulations	186
aa) The Canadian Arctic Waters Pollution Prevention Act 1970	186
bb) Northern Canada Vessel Traffic Services Zone	189
2) Russian Arctic Law and Policies	190
a) Legal Status of the Russian Arctic Zones	191
aa) Claims Based on the Sector Theory	192

bb) Russia's Historic Waters Claim	193
cc) The Drawing of Straight Baselines by the Russian Federation	194
dd) Passage Rights Across the Northern Sea Route	195
(1) The Northern Sea Route as an International Strait	196
(2) Innocent Passage in Straits Connecting the Regional Seas Along the Route	196
(3) Transit Passage Through the Bering Strait	197
b) Russian Northern Sea Route Regulations and Strategies	198
aa) Northern Sea Route Regulations	199
bb) Strategies and Plans for the Russian Arctic Policies	201
III The Effectiveness of Unilateral Action	203
1) Unilateralism and Stewardship	203
2) The Compatibility of the National Regulations with the International Law of the Sea	206
a) The Canadian Legislation and International Law	206
aa) Arctic Waters Pollution Prevention Act	207
bb) Northern Canada Vessel Traffic Services Zone	208
b) Russian Legislation and Art. 234 UNCLOS	210
aa) Prior Permission to Navigate the Northern Sea Route	210
bb) Compulsory Pilotage and Icebreaker Assistance	211
cc) Fees Charged by the Northern Sea Route Administration	212
c) The Compatibility of Canadian and Russian Legislation with Art. 234 UNCLOS	213
3) Implementation of National Regulations in the Arctic	213
IV Conclusion: The Contribution of Unilateral Action to Arctic Shipping Regulations	214
<b>Part IV: Regional Action</b>	217
Chapter 5: Regional Cooperation in the Circumpolar Arctic	219
I Regional Cooperation Forums	221
1) Regional Cooperation in the International Law of the Sea Framework and the Debate about the Arctic Ocean as a Semi-Enclosed Sea	222

2) Regional Cooperation in the Arctic Council	225
a) Establishment and Development of the Arctic Council	226
b) Membership in the Arctic Council	228
aa) Member States	228
bb) Permanent Participants	229
cc) Observers	231
c) Institutional Design of the Arctic Council	233
aa) Chair	233
bb) Working Groups	235
cc) Senior Arctic Officials	237
dd) Secretariat	237
3) Regional Cooperation in the Barents Region	238
a) The Barents Region Cooperation	238
b) The Northern Forum	241
4) Regional Cooperation Among the Arctic	242
II Regional Instruments Adopted by the Arctic Council	244
1) Soft Law adopted by High-Level Forums	244
2) Instruments Adopted under the Auspices of the Arctic Council	247
a) Agreement on Cooperation on Marine Oil Pollution Preparedness and Response in the Arctic	248
b) Guidelines Issued by the Arctic Council	250
c) Scientific Assessments	250
aa) General Introduction to Scientific Assessments	251
bb) General Introduction to Arctic Council Scientific Assessments	252
cc) The Arctic Marine Shipping Assessment	254
dd) The Relevance of Scientific Assessments for the Arctic Council	256
III Regional Collective Action	257
1) Constraints to Regional Cooperation	257
2) Acceptance of the Arctic Council and its Instruments	260
a) The Ad Hoc Structure and Continuities of the Arctic Council	260
b) Participation, Membership and Decision-Making in the Arctic Council	261

3) Implementation of Arctic Council Instruments	264
a) Agreements and Guidelines as Decisions of the Arctic Council	264
b) Scientific Assessments as Decision-Shaping Instruments	265
IV Conclusion: Regional Cooperation in the Arctic Regulatory Framework	268
<b>Part V: Private Action</b>	<b>271</b>
Chapter 6: Ships' Classification and Arctic Shipping	273
I The Role of Classification Societies	274
1) Classification Societies and their Role in the Regulation of Maritime Safety	275
2) Surveys and Certificates	276
a) Classification Surveys	277
b) Statutory Services	278
3) The International Association of Classifications Societies	281
II The Classification Standards for Arctic Shipping	282
1) Adoption of Standards through the International Association of Classifications Societies	282
2) Classification Regulations Regarding Arctic Shipping	284
a) Unified Requirements by the International Association of Classifications Societies	284
b) Transformation of Classification Rules to Canadian and Russian Legislation	286
c) Classification and the Polar Code	287
III The Collective Action Through Classification Societies	289
1) Function of Classification Societies in the Maritime Industry	290
a) Implementation of Classification Standards	290
b) Use of Classification Societies for Flag State Control	291
2) Classification Societies as a Hybrid Form of the Public and the Private	292
a) The Public/Private Divide	293
b) Private Regulations and the Question of Legitimacy	295
c) Classification Societies as Private Actors Serving Public Interests	296

d) Market-Pressure and Reputation of Classification Societies	297
e) The Performance and Legitimacy of Classification Societies	300
IV Conclusion: The Contribution of Classification Societies to the Regulatory Framework of Arctic Shipping	300
 Chapter 7: The International Marine Liability and Insurance Law in the Arctic	 303
I Marine Insurance and Liability Law	305
1) General Introduction to Marine Insurance Law	305
a) Marine Underwriters	306
aa) General Conditions	307
bb) Warranties	309
b) P&I Clubs	310
2) General Introduction to Liability Law for Shipping	314
a) The Convention on Civil Liability for Oil Pollution Damage	315
b) Industry Standards for the Coverage of Oil Pollution Damage	319
3) Overview of Marine Insurance and Liability Law	320
II Liability and Insurance Cover in the Arctic	321
1) Insurance in the Arctic	321
a) Marine Underwriters	321
aa) General Availability of Insurance for Arctic Operations	322
bb) Coverage of Arctic Operations	323
(1) Geographical Coverage	323
(2) Ice as a Peril of the Sea	325
(3) Seaworthiness and International Standards	326
b) P&I Insurance	327
c) Overview of Marine Insurance Cover in the Arctic	329
2) Liability in the Arctic	330
a) Canadian Legislation Regarding Oil Pollution Damage	330
b) Russian Legislation Regarding Oil Pollution Damage	331
c) US Approach to Oil Pollution Damage	331
d) Overview of National Liability Regimes in the Arctic	334

III Marine Insurance Ensuring Collective Action	335
1) Marine Insurers as Regulators to Ensure Collective Action	335
2) Use of Liability and Marine Insurance Law to Increase Maritime Safety	336
a) The Effectiveness of Liability Laws to Guarantee Maritime Safety	338
b) The Effectiveness of Marine Insurance Contracts to Guarantee Maritime Safety	340
aa) Risk-Avoidance Through Differentiated Premiums	340
bb) Integration of Public Standards Through Warranties	342
cc) High Safety Performance Through Mutuality	343
3) Summary of the Effect of Liability and Insurance Law	344
IV Conclusion: Contributions of Liabilities and Marine Insurance Law to the Regulation of Arctic Shipping	345
<b>Part VI: Conclusion</b>	347
Chapter 8: Concluding Remarks on the Regulatory Framework for Arctic Shipping	349
I Working Internationally and Collectively: International Law of the Sea	349
II Acting Unilaterally Rather than Collectively: National Regulations by Canada and the Russian Federation	351
III Cooperating Regionally: The Arctic Council	352
IV Private Ordering: Classification Societies and Marine Insurance Law	353
V Summary: Collective Action in the Arctic	355
Chapter 9: Interactions and Dynamics Within the Arctic Regulatory Framework	357
I Harmonising Standards	357
1) Factual Harmonisation of Standards	358
2) Referral to Other Standards	358
3) Introduction of Goal-Based Standards	359
4) Consideration of Existing Standards	360
5) Equivalency and Mutual Recognition of Standards	361

II Ensuring Implementation	362
1) Improvement of Flag State Performance and Shift to Other Implementation Possibilities	362
2) Regional Implementation of International Law	363
3) Implementation by Private Actors	363
III Participating in Law-Making-Processes	365
IV Managing Conflicts	366
1) Unilateral Action in International Law	367
2) Departure from Existing Regulations	367
3) Privatisation of Public Function	368
4) Different Regulatory Approaches	369
5) Overview of the Management of Conflicts in the Arctic Regulatory Framework	370
V Pioneering New Regulations	370
1) Unilateral Forerunners	370
2) Kicking-Off New International Regulations	371
3) Pioneering International Regulations Through Regional Cooperation	372
Chapter 10: An Outlook for Arctic Shipping Regulations	375
Case Law	377
Conventions and Legislation	379