



## 27 **1. Introduction**

28

29       Recently, the global warming has led to the melting of the Arctic sea ice, and the  
30 Arctic waters hence has become more accessible for commercial and industrial  
31 development (Verny and Grigentin, 2009; Ho, 2010). As a result of the opening Arctic  
32 waters, the frontier of natural resource exploitation can be significantly pushed further  
33 north (Fu et al., 2016), and the voyage distances between east Asia and Europe can be  
34 dramatically reduced (Suárez de la Fuente et al., 2018). The Arctic has been estimated  
35 to contain a vast reserve of natural gas, massive deposits of oil, and other minerals (Lee  
36 et al., 2015). Continued efforts have been made by different countries to unearth the  
37 potential for the Arctic natural resources, despite the difficulties for exploiting these  
38 resources (Afenyo et al., 2019). In the U.S. Arctic waters, Prudhoe Bay Oil Field, the  
39 largest oil field in North America, discovered in 1968, is operated by BP in partnership  
40 with ExxonMobil and ConocoPhillips Alaska (BP, 2010). In addition, Royal Dutch  
41 Shell was granted licenses for the exploration and drilling in Chukchi Sea (Macalister,  
42 2015). In the Kara sea, with the permission of Russia government, Rosneft and  
43 ExxonMobil jointly discovered oil and launched commercial production (Henderson  
44 and Loe, 2014), although ExxonMobil quit due to the U.S. sanction to Russia. Aside  
45 from the U.S. and Russia, China, as a ‘near-Arctic state’ shows growing interests in the  
46 Arctic shipping voyage, and tries to extend the Belt and Road Initiative (BRI) to the  
47 Arctic by using the ‘Polar Silk Road’ which connects China and Europa through the  
48 Arctic Ocean (Lasserre et al., 2018). Since the successful voyage of multipurpose vessel  
49 ‘Yongsheng’ in 2013, the number of Chinese cargo vessels applying for navigation via  
50 the Northern Sea Route (NSR) of the Arctic waters has kept increasing from 8 in 2013,  
51 1 in 2015, 11 in 2016 to 15 in 2017 (Lasserre et al., 2018). Approximately 1 million  
52 tons of cargo has been shipped from China via the NSR, and it has been estimated that  
53 about 1% of Chinese freight will have been transited through the NSR by 2020  
54 (Lasserre et al., 2018). By using the policy of ‘Polar Silk Road’, China will be more  
55 active in the Arctic, which may lead to the rise of level for shipping traffic via the Arctic  
56 waters.

57       The Arctic waters are hence attractive for exploitation of natural resource and  
58 intercontinental shipping transits (Lee et al., 2015), which can lead to an increase for the

59 number of marine traffic. However, the number of marine traffic in the Arctic waters  
60 only accounts for a small proportion of the total international shipping transits, and  
61 there is insufficient response capacity for emergencies (Fu et al., 2018). One of the  
62 reasons contributing to the status quo is that the safety environment of the Arctic waters  
63 has long been considered as ‘harsh’. This is reflected by sea ice, drifting icebergs,  
64 extremely low temperatures, insufficient and inaccurate hydrographic information, fast-  
65 changing severe weather conditions, etc., (Fu et al., 2016; Meng et al., 2017), which  
66 threaten the safety of seafarers and ships (Arctic Council, 2009). With the increased size  
67 and number of ships (Toffoli et al., 2005), shipping accidents are more likely to occur in  
68 the Arctic waters (Borgerson, 2008). It is confirmed by studies that the increased traffic  
69 of oil tankers in Barents Sea will lead to a considerable number of accidents, if no  
70 further safety measures are adopted (Norwegian Ministry of the Environment, 2012).  
71 Thus, the safety of the marine traffic in the Arctic waters has become of significant  
72 interest (Fu et al., 2016). It is necessary to perform safety evaluation to analyse safety  
73 risk for marine traffic in the Arctic sea.

74 A considerable number of studies have been conducted to investigate the safety  
75 risk related to the marine traffic in the Arctic waters. At the 94<sup>th</sup> Maritime Safety  
76 Committee meeting, the ‘International Code for Ships Operating in Polar Waters (Polar  
77 Code)’ was adopted by the International Maritime Organization (IMO) (Jensen, 2016).  
78 The polar code emphasizes a comprehensive list of hazards for marine activities in the  
79 Arctic waters, but it has made few efforts to illustrate the risk influencing factors (RIFs)  
80 for individual operations, or the modelling techniques for safety assessment (Fu et al.,  
81 2018; Jensen, 2016). Regarding the RIFs for the marine traffic, a group of accidental  
82 events and processes are identified to contribute to ship accidents (Yang et al., 2013b).  
83 A structural equation modelling method is used for the investigation of the  
84 interdependence between the RIFs in the marine transportation system for the Arctic  
85 waters (Fu et al., 2015). Safe marine traffic in the Arctic waters can be influenced by  
86 different environmental conditions, human factors, navigation aids, the vessel itself, and  
87 other vessels (Thompson, 2004). It has been found by Zhang et al., (2019) that ship  
88 speed and ice concentration are the major environmental factors of performance of ships  
89 navigating in the Arctic waters. In addition, the risk influencing factors may also  
90 involve ice condition, low temperature, a lack of seamarks, remoteness from populated

91 areas, and the increased instability of equipment operations caused by the effects of high  
92 latitudes (Fu et al., 2015; Khan et al., 2014; Kum and Sahin, 2015). Visibility and  
93 human error are identified as remarkable contributors to ship collisions (Merrick et al.,  
94 2000; Van Dorp et al., 2001; Macrae, 2009; Zhang and Thai, 2016). Besides, significant  
95 human contributors to marine traffic also involve physical and mental fatigue, scanty  
96 knowledge for shipping system, inferior communication capability, etc., (Talley, 2002;  
97 Dhillon, 2007). With respect to the modelling techniques for safety assessment, Khan et  
98 al. (2014) applied the method of Bayesian network to propose a framework for the  
99 transportation risk analysis in the Arctic waters. A method of fuzzy fault tree is  
100 proposed by Kum and Sahin (2015), which considers a group of causal risk factors  
101 about human and management in reference to the accidents of collision and grounding  
102 in the Arctic waters. Fu et al. (2016) used Bayesian networks models to predict the  
103 probabilities of ships getting stuck in the NSR.

104 It is clear that among the safety risk studies associated with the marine traffic in the  
105 Arctic waters, the major modelling techniques are fuzzy logic and Bayesian networks. It  
106 is worth noting that fuzzy logic is difficult to manage the uncertainty caused by  
107 incompleteness or ignorance (Yang et al., 2006), despite its distinguished features in  
108 information fusion (Yang and Wang, 2015). Bayesian networks have the merits of  
109 probabilistic inference based on powerful algorithms (Kong et al., 2015a). Nevertheless,  
110 the complexity of Bayesian networks increases in an exponential way with the increase  
111 of the number of parameters for the networks (Kong et al., 2015a). They also require too  
112 much information about prior distributions, which heavily depends on the sampling  
113 method of data collection (Kong et al., 2015; Yang et al., 2019). In addition, probability  
114 completeness is required in Bayesian inference (Yang et al., 2019). The unavailability  
115 of statistical data can be complemented by subjective data (Yang et al., 2019). Although  
116 subjective probabilities can be generated by experts, it comes with problems such as  
117 consensus, accuracy, and completeness of judgements (Yang et al., 2019). Besides, the  
118 interdependence between RIFs has not been studied in depth in the models for the  
119 marine traffic in the Arctic waters (Fu et al., 2016).

120 The evidential reasoning (ER) approach is developed based on the Dempster-  
121 Shafer (D-S) theory of evidence (Dempster, 1968; Shafer, 1976). The ER approach  
122 comes up with a unique reasoning-based process for merging distributed assessments

123 (Yang et al., 2009), which has been used in a wide range of areas, e.g., motorcycle  
124 evaluation (Yang and Singh, 1994a), design (Yang and Xu, 1998), environment impact  
125 assessment (Wang et al., 2006), bridge condition assessment (Wang and Elhag, 2008),  
126 product assessment (Chin et al., 2009), nuclear waste repository assessment (Xu, 2009),  
127 weapon system capability assessment (Jiang et al., 2011), medical quality assessment  
128 (Kong et al., 2015b) and navigational risk assessment of inland waterway transportation  
129 systems (Zhang et al., 2016). It has the merits of handling both objective indicators and  
130 subjective evaluations under uncertainty, e.g., incompleteness and vagueness (Kong et  
131 al., 2015a). By employing the concept of degree of belief, the synthesizing capability of  
132 the ER approach for partial degrees of belief has expanded the application scope of the  
133 conventional probabilistic theory, especially in profiling and dealing with uncertain  
134 information such as ignorance and incompleteness (Yang et al., 2008). In contrast to  
135 fuzzy logic, the linguistic terms used in the ER approach can be distinctive, indicating  
136 that there are no overlaps between the meanings of consecutive linguistic terms (Yang  
137 et al., 2006), whilst the overlap of linguistic terms can be modelled by the subsets of  
138 distinctive linguistic terms. Furthermore, fuzzy logic can only be applied to manage the  
139 uncertainty caused by vagueness and fuzziness, while the ER approach can be used to  
140 deal with ignorance or incompleteness (Yang et al., 2013a). In the safety evaluation of  
141 Arctic marine traffic environment, there are uncertainties caused by factors such as  
142 insufficient information, knowledge, and experience, incomplete understanding of  
143 system, and lack of confidence in judgments. In addition, both quantitative and  
144 qualitative inputs are aggregated in the safety evaluation model. For these reasons, the  
145 ER approach is used to evaluate the overall safety state of the environment for the  
146 marine traffic in the Arctic waters based on subjective qualitative judgement and  
147 objective quantitative indicators in this paper. A pragmatic method is also applied to  
148 transform quantitative indicators to qualitative grades for assessment with a belief  
149 structure. The major contributions of this paper are summarised as follows.

150 (1). The ER approach is used to propose a new model for the safety evaluation of  
151 the Arctic marine traffic environment, which merges subjective and objective  
152 environmental factors of safety. In the evaluation process of subjective factors, we  
153 consider the experts' uncertainty caused by incomplete information, partial  
154 understanding, etc. The distributed assessments and utility values generated by the

155 approach facilitate the comparison of safety level of different vessel locations in the  
156 Arctic waters.

157 (2). Environmental data related to safety used in this study were collected by the  
158 first author of this paper from navigation records during the Arctic voyage of the  
159 general cargo vessel ‘Tian You’. The qualitative judgements were collected from  
160 questionnaires distributed to domain experts. All of this first-hand material about safety  
161 is authentic and reliable, which reflects the real safety environment of the Arctic  
162 navigation. The rationality and feasibility of the proposed model in this study have been  
163 validated by the sensitivity analysis focused on the weights of environmental factors in  
164 the criteria level of the proposed model.

165 (3). A systematic review is conducted for the environmental factors of safety in the  
166 criteria and sub-criteria levels of the proposed model, which provides a detailed  
167 description of the Arctic navigation environment from the perspectives of  
168 hydrometeorology, channel, traffic regulation, and navigation infrastructure.

169 The remaining part of this paper is organized as follows. Section 2 is mainly  
170 focused on data and the safety factors of the environmental evaluation for the Arctic  
171 marine traffic. Section 3 provides a brief introduction to the ER approach. In Section 4,  
172 a numerical example is used to illustrate the detailed process for data input, weight  
173 generation, data aggregation, and sensitivity analysis, which are all based on the ER  
174 approach. Section 5 presents the results of environmental evaluation and sensitivity  
175 analysis. The major contributions, limitations, and the potential research direction of  
176 this study are summarised in Section 6.

177

## 178 **2. Data and environmental factors**

179

### 180 *2.1. Data*

181

182 In the period from 26<sup>th</sup> August to 20<sup>th</sup> September in 2019, for the purpose of data  
183 collection, the first author of this paper had taken the general cargo vessel ‘Tian You’  
184 operated by COSCO Shipping Specialized from Shanghai, China to Hamburg, Germany,  
185 which sailed through the Northeast Passage (NEP). The vessel ‘Tian You’, which has a  
186 length of 190 m, a beam of 28 m, a draught of 6.9 m, and a deadweight of 37559 t, is

187 classified as CCS Ice Class B1 equivalent to LR Ice Class 1A (“Vessel details for:  
188 TIAN YOU”, 2019). During the NEP voyage of ‘Tian You’, the author collected  
189 quantitative data about the hydrometeorological environmental factors (including sea  
190 ice concentration and thickness) for the navigation of ‘Tian You’ in the Arctic waters  
191 from deck log, ship performance recorder, electronic charts, sea ice monitoring system,  
192 etc. Qualitative judgements on other environmental factors were collected from  
193 questionnaires which were distributed to the domain experts such as the officers of  
194 ‘Tian You’, researchers focusing on the Arctic marine traffic, the administration of  
195 shipping companies, and the management of classification societies (e.g., China  
196 Classification Societies (CCS), Lloyd’s Register). The information collected from the  
197 Northern Sea Route Administration of Russia, the National Marine Environmental  
198 Forecasting Center of China, etc., also provide a reference for this study.

199

## 200 *2.2. Environmental factors of safety*

201

202 Based on the relevant literatures and the extensive discussions with domain  
203 experts, 4 aspects of environmental factors of safety for the Arctic marine traffic are  
204 considered in this study, and they are hydrometeorology, channel, traffic regulation, and  
205 navigation infrastructure. The following part provides a brief introduction to these  
206 factors.

207

### 208 *2.2.1. Hydrometeorology*

209

210 The hydrometeorological factors identified in this study include wind and wave,  
211 visibility, sea ice concentration, and sea ice thickness. Wind is related to vessel  
212 operations (Montewka et al., 2013; Goerlandt et al., 2017). In summer which is  
213 appropriate for Arctic navigation, most parts of Russian Arctic are dominated by  
214 northern and eastern winds (Przybylak, 2013). Due to the high atmospheric pressure and  
215 high anticyclonic activity, the wind speed of whole Arctic Ocean is generally between 4  
216 and 6 m/s (Przybylak, 2013). Ocean sea waves including sea and swell are caused by  
217 the winds which blows a distance for a period of time (Thomson and Rogers, 2014). A  
218 recent study shows that there is a positive correlation between wind speed and wave

219 height in the ice-free Arctic waters (Waseda et al., 2018). In mid-September 2012,  
 220 waves of 5 m high recorded in Arctic open water were generated by high winds  
 221 (Thomson and Rogers, 2014). Wind can be empirically measured by the Beaufort scale  
 222 which relates wind speed to wave height, and sea and land conditions (“Beaufort wind  
 223 force scale - Met Office,” n.d.; “The Beaufort Scale - Royal Meteorological Society,”  
 224 n.d.). For example, if the wind speed is between 5.5 and 7.9 m/s, the wind is classified  
 225 as ‘Beaufort force 4’ indicating moderate breeze, and the relevant description for sea  
 226 conditions is that small waves become longer and white horses are fairly frequent  
 227 (“Beaufort wind force scale - Met Office,” n.d.; “The Beaufort Scale - Royal  
 228 Meteorological Society,” n.d.). In the NSR area, visibility can be adversely influenced  
 229 by fogs, blowing snow, etc., (American Bureau of Shipping, 2014). In this study,  
 230 visibility is measured by the visibility level which is defined in the ‘International  
 231 Comprehensive Ocean-Atmosphere Data Set (ICOADS)’ (Shan et al., 2019). The  
 232 classification rule of visibility level (Shan et al., 2019) is given in Table 1.

233

234 **Table 1**

235 Classification rule of visibility level

Visibility level	1	2	3	4	5	6	7	8	9	10
Visibility distance (km)	≤ 0.05	0.05-0.2	0.2-0.5	0.5-1	1-2	2-4	4-10	10-20	20-50	≥ 50

236

237 Sea ice is a critical feature for Arctic marine traffic (Montewka et al., 2013; Fu et  
 238 al., 2015; Kum and Sahin, 2015). The Arctic Ocean and part of peripheral seas are  
 239 covered by sea ice during winter, while sea ice pulls back to the Arctic Ocean during  
 240 summer (Walsh, 2008). Sea ice concentration and thickness are significant contributors  
 241 to ice conditions (Montewka et al., 2013; Fu et al., 2015; Kum and Sahin, 2015). In this  
 242 study, the ice data (those of sea ice concentration and thickness) were acquired based on  
 243 the sea ice monitoring system installed on ‘Tian You’, which was developed by a  
 244 research group focusing on the study of sea ice in a technology university. Based on the  
 245 video images of ice (recorded by the monitoring system), the sea ice concentration and

246 thickness of a specific sea area were calculated by the monitoring system using image  
247 segmentation and analysis techniques, and the projection principle, respectively.

248 Sea ice concentration is defined as a percentage of the ice-covered water area  
249 related to the entire observed water area, which ranges from 0% to 100% (Martin, 2007;  
250 Pastusiak, 2016). If the sea ice concentration ranges between 0% and 15%, the vessel  
251 can sail without obstructions (Canadian Ice Service, 2005; Pastusiak, 2016). For the  
252 Arctic sea ice thickness, the mean value of the period between 2003 and 2007 is about  
253 1.43 m (Kwok and Rothrock, 2009). Broadly speaking, the larger the sea ice  
254 concentration and thickness are, the more difficult the vessels sail through a given leg of  
255 a sea route (Pastusiak, 2016). Moreover, changes of clouds may have an impact on the  
256 sea ice extent and thickness, and changes of sea ice can impart changes to cover of  
257 cloud (Eastman and Warren, 2010). Various types of clouds may have various  
258 influences on sea ice (Eastman and Warren, 2010). Air temperature is the most  
259 important and hence most often studied climatological factor for the Arctic (Przybylak,  
260 2013). The mean air temperatures of winter in the central Arctic Ocean generally range  
261 from -30°C to -33°C (Serreze et al., 2005). In contrast, due to the melting sea ice, the  
262 mean air temperatures of July tend to hover around the freezing point (Serreze et al.,  
263 2005). Sensitivity experiments have illustrated that there is a robust relationship  
264 between air temperature and sea ice (Semenov and Bengtsson, 2003).

265

### 266 2.2.2. *Channel*

267

268 The physical environment of the northern coast of the Eurasian landmass is  
269 uniquely challenging to the technologies and systems of the Arctic marine traffic, which  
270 is generally featured by shallow water (Arctic Council, 2009). The average depths of  
271 Chukchi and East Siberian seas are 88 m and 58 m respectively, which are fairly  
272 shallow for marine traffic (Arctic Council, 2009). The Laptev Sea has an average depth  
273 of 578 m, but 66 percent of its coastal area has a depth of 100 m or less (Arctic Council,  
274 2009). The average depth of Kara Sea is 90 m, and the southeastern coastal area of  
275 Barents Sea is in depths between 10 m and 100 m, and its northwestern area has depths  
276 between 200 m and 300 m (Arctic Council, 2009).

277 There are several narrow straits indicating significant constraints to the navigation  
 278 through NSR (Arctic Council, 2009). They are Yugorskiy Shar Strait, Kara Gate,  
 279 Vilkitskiy Strait, Dmitry Laptev Strait, and Sannikov Strait (Arctic Council, 2009),  
 280 which are briefly introduced in Table 2.

281

282 **Table 2**

283 Brief introduction to the NSR straits

Name of strait	Length (nmi)	Width (nmi)	Depth (m)
Yugorskiy Shar Strait	21	6	13-30
Kara Gate	18	14	21 (minimum depth)
Vilkitskiy Strait	60	30	100-200
Shokalskiy Strait	80	10	37 (minimum depth)
Dmitry Laptev Strait	63	30	12-15
Sannikov Strait	160	16	13
Long Strait	120 (southern route) and 160 (northern route)	75	20 m (minimum depth for southern route) and 33 m (minimum depth for northern route)

284 Source: Arctic Council, 2009; Pastusiak, 2016.

285

286 *2.2.3. Traffic regulation*

287

288 In 2014, the International Maritime Organization (IMO) adopted an international  
 289 regime - the International Code for Ships Operating in Polar Waters (Polar Code)  
 290 (Mathiesen, 2014), which came into effect on 1<sup>st</sup> January 2017 (Deggim, 2018). It was  
 291 developed in consideration of the International Convention for the Safety of Life at Sea  
 292 (SOLAS) and the International Convention for the Prevention of Pollution from Ships

293 (MARPOL) (Deggim, 2018). It was proposed to protect vessels, seafarers and  
294 passengers in the harsh and vulnerable environment of the Arctic and Antarctic waters,  
295 and meanwhile it preserves environment (Deggim, 2018). Regarding the safety  
296 measures, three basic requirements were set out for all the ships covered by the Polar  
297 Code (Deggim, 2018). The first requirement is that every ship is subject to certain  
298 certification provisions, and the second one is that there are specific minimum  
299 requirements about ‘performance standards’ derived from the standards stipulated in  
300 SOLAS (Deggim, 2018). Third, it is mandatory to perform an ‘operational assessment’  
301 for the ability of a ship to operate in polar waters and the potential risks about the  
302 navigation (Deggim, 2018). The Code also involves requirements for polar manual, ship  
303 structure, subdivision and stability, fire safety and protection, life-saving appliances and  
304 arrangements, navigation safety, voyage planning, etc., (Deggim, 2018). Navigation  
305 through the NSR can be affected by not only the international regulations (e.g., Polar  
306 Code) but also the domestic ones. Regarding this issue, currently Russia has jurisdiction  
307 over most of NSR through its federal law regulations on the NSR and the Rules of  
308 Navigation (Solski, 2013; American Bureau of Shipping, 2014). Vessels navigating the  
309 NSR need to submit application to the Northern Sea Route Administration (NSRA) of  
310 Russia in order to grant permission for the navigation no more than 4 months and no  
311 less than 15 days prior to the intended passage through the NSR (American Bureau of  
312 Shipping, 2014). Moreover, a vessel’s master should notify the NSRA of its estimated  
313 arrival time before entry into the NSR area (American Bureau of Shipping, 2014).

314

#### 315 *2.2.4. Navigation infrastructure*

316

317 Russian icebreaker fleet has always been a basic necessity to obtaining marine  
318 access along the NSR (Moe and Brigham, 2017). The access is achieved by the  
319 development of diesel-electric icebreakers and the pioneering use of nuclear-powered  
320 icebreakers (Moe and Brigham, 2017). As of 2015, there were 6 diesel-electric  
321 icebreakers and 4 nuclear icebreakers (50 years of victory, Yamal, Taymyr, and  
322 Vaygach) working in the Russian Arctic (Moe and Brigham, 2017). In practice,  
323 Atomflot is the major provider of the icebreaker escort for the long hauls in the Arctic  
324 waters (Moe and Brigham, 2017). Compared with the diesel-electric icebreakers, the

325 nuclear icebreakers have the advantages of greater power and ice-breaking ability, and  
 326 they can maintain for long periods of time without refuelling (Bukharin, 2006). Due to  
 327 the high costs of maintenance and operation, the fleet of nuclear icebreakers has not  
 328 yielded profits in recent years (Bukharin, 2006). Russian icebreakers are aging, and  
 329 many of them will be decommissioned before new ones are operative, which may lead  
 330 to insufficient icebreaking capacity for the expected growth of Arctic navigation (Moe  
 331 and Brigham, 2017).

332 Along the length of NSR, there are several principal Russian ports which include,  
 333 from west to east, Amderma, Dikson, Dudinka, Igarka, Khatanga, Tiksi, Zeleny Mys,  
 334 Pevek, and Mys Shmidta (American Bureau of Shipping, 2014; Arctic Council, 2009).  
 335 Table 3 provides basic information about these ports, which include the depths of  
 336 anchorage, wharf, and terminal, types of fuel that can be replenished, repair capacity,  
 337 and availability of rescue station and icebreaker base. For the types of fuel that can be  
 338 replenished, HFO and MDO indicate ‘Heavy Fuel Oil’ and ‘Marine Diesel Oil’  
 339 respectively.

340

341 **Table 3**

342 Basic information about the principle NSR ports

Name of port	Depth at anchorage (m)	Depth at wharf (m)	Depth at terminal (m)	Fuel	Repairs	Rescue station	Icebreaker base
Amderma	11	1.8	-	-	-	-	-
Dikson	7.9	4.9	9.4	HFO,MDO	Limited	Yes	Yes
Dudinka	9.4	6.4	9.4	HFO,MDO	Limited	No	No
Igarka	9.4	11	11	HFO,MDO	Limited	No	No
Khatanga	-	3.4	-	-	Limited	No	No
Tiksi	4.9	4.9	3.4	HFO	Medium	Yes	Yes
Zeleny Mys	1.8	3.4	-	-	Limited	No	No
Pevek	12.5	6.4	6.4	-	Limited	Yes	Yes
Mys Shmidta	7.9	3.4	-	HFO,MDO	Emergency	No	No

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343 Source: Pastusiak, 2016.

344

345 In the NSR ports displayed in Table 3, Igarka, Dudinka, and Khatanga are located  
346 at a substantial distance from the NSR (Pastusiak, 2016). There are few reasons that  
347 Amerma will become more significant for marine traffic along the NSR (Pastusiak,  
348 2016). Pevek and Dikson can handle vessels with a considerably deep draught at the  
349 anchorage, and few ports along the NSR can offer support for vessels which have a  
350 draught between 10 m and 20 m (Pastusiak, 2016). The support is especially weak in the  
351 eastern section of the NSR which is between Dikson and Pevek (Pastusiak, 2016).  
352 Based on Table 3, it can be assumed that there are few opportunities for vessels to  
353 receive serious repair in the ports along the NSR, as the nearest Russian ports (e.g.,  
354 Murmansk and Vladivostok) where repairs can take place are generally outside the NSR  
355 (Pastusiak, 2016). Moreover, depths at anchorage and wharf of these ports are often  
356 smaller than the draught of vessels for NSR navigation, which makes fuel  
357 replenishment in these ports very difficult (Pastusiak, 2016). In light of emergency and  
358 rescue services, only 3 out of 9 NSR ports have rescue stations and icebreaker base, and  
359 their rescue services are close to the capability limits (Pastusiak, 2016). Based on the  
360 above description and analysis, it can be concluded that vessels that navigate through  
361 the NSR need to be autonomous during the entire voyage.

362 The safety of Arctic marine traffic depends heavily on navigation facilities such  
363 as fixed and floating, shore-based electronic, and satellite-based navigation aids (Arctic  
364 Council, 2009). Vessels navigating the Arctic waters often applies a combination of  
365 conventional navigation and satellite positioning techniques (Arctic Council, 2009). A  
366 vast network of fixed and floating navigation aids is mainly provided in the Russian  
367 ports along the NSR, and the coastal area between the ports has some luminous and  
368 nonluminous beacons and daymarks (Arctic Council, 2009). Buoys are put out on the  
369 NSR in the ice-free navigation seasons (Pastusiak, 2016). As of 2000, 30 racon type  
370 devices and 700 passive radar reflectors were installed in particularly dangerous areas  
371 along the NSR, and they were linked with available light and day beacons (Ragner,  
372 2000; Kitagawa, 2001). According to the official nautical publications (National  
373 Geospatial-Intelligence Agency, 2010; United Kingdom Hydrographic Office, 2011),

374 vessels should not just depend on radio navigation devices when navigating the entire  
375 eastern section of the NSR (Pastusiak, 2016). Satellite positioning systems: GPS and  
376 GLONASS could be used by the vessels navigating the NSR in 2000 (Ragner, 2000).  
377 However, as positioning systems of vessels based on radio bearings do not function on  
378 the NSR, the GPS or GLONASS coordinates of vessels cannot be verified by existing  
379 positioning systems (Pastusiak, 2016). In general, the areas of the NSR, especially the  
380 eastern section (i.e., Laptev, East Siberian, and Chukchi Seas), face serious  
381 underinvestment and investment backlog (Pastusiak, 2016).

382 As the entire NSR goes along the northern coast of Russia, the paper and  
383 electronic charts (ENC) generated by Russia merit special attention (Pastusiak, 2016).  
384 As of 1999, there had been already a considerable number of paper and 300 electronic  
385 charts provided by Russia, which adequately covers the areas of NSR (Ragner, 2000).  
386 Russia is the only provider of ENC for the NSR which cannot be fully covered by the  
387 charts of British admiralty, and the scale of the available charts is generally worse than  
388 the Russian charts (Pastusiak, 2016). In light of the reliability of the charts, a fact is that  
389 the NSR has not been completely studied, which motivates Russia to perform  
390 systematic hydrographic surveys of seabed of the NSR (Pastusiak, 2016). However, the  
391 reliability of the measurement results are difficult to be validated by international  
392 standards (Pastusiak, 2016).

393 The capacity to acquire the current ice and hydrometeorological information is  
394 very important for navigation safety of vessels (Pastusiak, 2016). Such kind of  
395 information for vessels navigating the NSR is collected by Russian meteorological  
396 service, and it is circulated by means of official weather bulletins for particular forecast  
397 regions (SafetyNet) generated by the International Meteorological Organization  
398 (Pastusiak, 2016). However, the information presents discrepancies and a high degree of  
399 generalization, which suggests limited reliability for the NSR navigation (National  
400 Geospatial-Intelligence Agency, 2009; Pastusiak, 2016).

401

### 402 **3. The ER Approach**

403

404 The ER approach is used to aggregate data in this study. It is a generic evidence-  
405 based approach for multiple attribute decision analysis (MADA), which is used to

406 address the problems with qualitative and quantitative attributes under uncertainty  
407 (Yang and Singh, 1994; Yang and Xu, 2002). In the ER approach, a belief structure is  
408 introduced, which is different from traditional MADA methods. Suppose in an MADA  
409 problem, a number of alternatives:  $D_n (n=1, \dots, N)$  need to be assessed based on L  
410 attributes or factors, the  $l^{th}$  attribute  $e_l (l=1, \dots, L)$ , either quantitative or qualitative,  
411 can be assessed among a group of grades  $H (H_1, \dots, H_K)$  that are hypothesized to be  
412 collectively exhaustive and mutually exclusive (Kong et al., 2015a). As the attributes  
413  $(e_1, \dots, e_L)$  may have different relative importance, attribute weight  $w_l (l=1, \dots, L)$  can  
414 be used to indicate different degrees of relative importance, which should satisfy the  
415 conditions that  $w_l \geq 0$  and  $\sum_{l=1}^L w_l = 1$ . The methods for generating attribute weights  
416 include subjective (e.g., analytic hierarchical process (AHP), direct rating, SMART, and  
417 Delphi), objective (e.g., entropy, principle component analysis (PCA), projection, and  
418 standard deviation), and hybrid methods (e.g., integer linear goal-programming,  
419 subjective and objective integrated approach, and extension approach of TOPSIS)  
420 (Yang et al., 2017). In this study, the AHP method is used to generate attribute weights,  
421 which is elaborated in Section 4.3. Let  $\beta_{k,l} (k=1, \dots, K; l=1, \dots, L)$  be the degree of  
422 belief for the  $k^{th}$  assessment grade:  $H_k$  in the assessment of  $e_l$ .  $\beta_{k,l}$  can either be  
423 objective if it is a probability generated from data, or subjective if it represents an  
424 individual belief (Kong et al., 2015a), and it should meet the condition that  $\beta_{k,l} \geq 0$  and  
425  $\sum_{k=1}^K \beta_{k,l} \leq 1$  (Tang et al., 2012). Table 4 presents the belief decision matrix (Yang and  
426 Xu, 2002a) which is used to profile the performance assessment based on the ER  
427 approach.

428

429 **Table 4**

430 The belief decision matrix based on the ER approach

Grades for Attributes Evaluation	Degrees of belief					
	$e_1(w_1)$	$e_2(w_2)$	...	$e_l(w_l)$	...	$e_L(w_L)$

$H_1$	$\beta_{1,1}$	$\beta_{1,2}$	$\dots$	$\beta_{1,l}$	$\dots$	$\beta_{1,L}$
$H_2$	$\beta_{2,1}$	$\beta_{2,2}$	$\dots$	$\beta_{2,l}$	$\dots$	$\beta_{2,L}$
$\vdots$	$\vdots$	$\vdots$	$\dots$	$\vdots$	$\dots$	$\vdots$
$H_k$	$\beta_{k,1}$	$\beta_{k,2}$	$\dots$	$\beta_{k,l}$	$\dots$	$\beta_{k,L}$
$\vdots$	$\vdots$	$\vdots$	$\dots$	$\vdots$	$\dots$	$\vdots$
$H_K$	$\beta_{K,1}$	$\beta_{K,2}$	$\dots$	$\beta_{K,l}$	$\dots$	$\beta_{K,L}$

431

432 It is clear from Table 4 that we can use a belief distribution:

433  $S(e_l) = \{(H_k, \beta_{k,l}), k = 1, \dots, K; l = 1, \dots, L\}$  to describe an assessment for  $e_l$  (Tang et

434 al., 2012).  $S(e_l)$  is not complete given that  $\sum_{k=1}^K \beta_{k,l} < 1$  while it is complete given that

435  $\sum_{k=1}^K \beta_{k,l} = 1$  (Tang et al., 2012). Based upon the belief decision matrix shown in Table 4,

436 we can use the ER algorithm to aggregate the distributed assessments for all the  
 437 attributes to obtain a combined assessment for an alternative (Kong et al., 2015b). The  
 438 recursive ER algorithm (Yang and Singh, 1994; Yang and Xu, 2002) for the aggregation  
 439 is briefly described in the following steps.

440 Step 1: To transform degrees of belief into basic probability mass.

441 The degrees of belief  $\beta_{k,l}$  ( $k = 1, \dots, K; l = 1, \dots, L$ ) are transformed into basic  
 442 probability mass by using Eqs. (1) through (4) to merge the related weights and the  
 443 degrees of belief.

$$444 \quad m_{k,l} = w_l \beta_{k,l} \quad (1)$$

$$445 \quad m_{H,l} = 1 - \sum_{k=1}^K m_{k,l} = 1 - w_l \sum_{k=1}^K \beta_{k,l} \quad (2)$$

$$446 \quad \bar{m}_{H,l} = 1 - w_l \quad (3)$$

$$447 \quad \tilde{m}_{H,l} = w_l \left( 1 - \sum_{k=1}^K \beta_{k,l} \right) \quad (4)$$

448 In Eqs. (1) through (4),  $m_{H,l} = \bar{m}_{H,l} + \tilde{m}_{H,l}$  and  $\sum_{l=1}^L w_l = 1$ .  $m_{k,l}$  indicates the basic  
449 probability mass of  $e_l$  which points to the assessment grade  $H_k$ . The probability mass  
450 assigned to the whole grade set  $H$ , is composed of two parts:  $\bar{m}_{H,l}$  and  $\tilde{m}_{H,l}$ , where  
451  $\bar{m}_{H,l}$  is elicited by the relative importance of the  $l^{th}$  attribute:  $e_l$  and  $\tilde{m}_{H,l}$  is caused by  
452 the incompleteness of assessment on  $e_l$  (Wang et al., 2006).  $\bar{m}_{H,l}$  is the remaining  
453 proportion of beliefs that need to be assigned, depending on how other attributes are  
454 evaluated, which indicates to what degree other attributes contribute to evaluating an  
455 alternative (Wang et al., 2006).  $\bar{m}_{H,l}$  essentially offers a space for resolution of conflict  
456 given the existence of conflicting evidence (Wang et al., 2006).  $\tilde{m}_{H,l}$  becomes zero  
457 given that no ignorance is involved in the assessment (Wang et al., 2006).

458 Step 2: To combine basic probability mass of  $e_1$  and  $e_2$  into joint probability  
459 masses.

460 Based on Step 1, the basic probability masses for  $e_1$  are generated by Eq. (5).

$$461 \quad m_{k,1} = w_1 \beta_{k,1}, \quad \bar{m}_{H,1} = 1 - w_1, \quad \text{and} \quad \tilde{m}_{H,1} = w_1 \left( 1 - \sum_{k=1}^K \beta_{k,1} \right) \quad (5)$$

462 It is noted that in Eq. (5),  $m_{k,1}$  represents the basic probability mass of  $e_1$  which is  
463 assigned to the grade  $H_k$ .  $\bar{m}_{H,1}$  is generated by the relative importance of  $e_1$ , and  $\tilde{m}_{H,1}$   
464 is elicited by the incompleteness of  $e_1$ . Similarly, we can use Eq. (6) to obtain the basic  
465 probability mass for another assessment on  $e_2$ .

$$466 \quad m_{k,2} = w_2 \beta_{k,2}, \quad \bar{m}_{H,2} = 1 - w_2, \quad \text{and} \quad \tilde{m}_{H,2} = w_2 \left( 1 - \sum_{k=1}^K \beta_{k,2} \right) \quad (6)$$

467 The basic probability masses of  $e_1$  and  $e_2$  are combined into the joint probability  
468 masses for  $H_k$  using Eqs. (7) through (10).

$$469 \quad \{H_k\}: m_{k,e(2)} = J \left( m_{k,1} m_{k,2} + m_{k,1} (\tilde{m}_{H,2} + \bar{m}_{H,2}) + (\tilde{m}_{H,1} + \bar{m}_{H,1}) m_{k,2} \right), \quad k = 1, \dots, K$$

470 (7)

$$471 \quad \{H\}: \tilde{m}_{H,e(2)} = J \left( \tilde{m}_{H,1} \tilde{m}_{H,2} + \tilde{m}_{H,1} \bar{m}_{H,2} + \bar{m}_{H,1} \tilde{m}_{H,2} \right) \quad (8)$$

472  $\{H\}: \bar{m}_{H,e(2)} = J(\bar{m}_{H,1}\bar{m}_{H,2})$

473 (9)

474  $J = \left(1 - \sum_{k=1}^K \sum_{t=1, t \neq k}^K m_{k,1}m_{t,2}\right)^{-1}$  (10)

475 Step 3: To combine the assessments recursively.

476 If there are more than two assessments that are to be combined, we can repeatedly  
 477 use Eqs. (7) through (10) to combine another assessment with the combined assessment  
 478 for  $e_1$  and  $e_2$ :  $m_{k,e(2)}$ ,  $\tilde{m}_{H,e(2)}$ , and  $\bar{m}_{H,e(2)}$ . This process shown in Eqs. (11) through  
 479 (14) continues until all the assessments are combined recursively. The combined degree  
 480 of belief assigned to each grade ( $\beta_{k,e(L)}$ ) is generated for an alternative using Eqs. (15)  
 481 and (16) based on the aggregation of the  $L$  attributes.

482  $\{H_k\}: m_{k,e(l+1)} = J_{e(l+1)}(m_{k,e(l)}m_{k,l+1} + m_{k,e(l)}m_{H,l+1} + m_{H,e(l)}m_{k,l+1}), l = 1, \dots, L-1;$   
 483  $m_{H,e(l)} = \bar{m}_{H,e(l)} + \tilde{m}_{H,e(l)}, l = 1, \dots, L$  (11)

484  $\{H\}: \tilde{m}_{H,e(l+1)} = J_{e(l+1)}(\tilde{m}_{H,e(l)}\tilde{m}_{H,l+1} + \tilde{m}_{H,e(l)}\bar{m}_{H,l+1} + \bar{m}_{H,e(l)}\tilde{m}_{H,l+1}), l = 1, \dots, L-1$   
 485 (12)

486  $\{H\}: \bar{m}_{H,e(l+1)} = J_{e(l+1)}(\bar{m}_{H,e(l)}\bar{m}_{H,l+1}), l = 1, \dots, L-1$   
 487 (13)

488  $J_{e(l+1)} = \left(1 - \sum_{k=1}^K \sum_{t=1, t \neq k}^K m_{k,e(l)}m_{t,l+1}\right)^{-1}, l = 1, \dots, L-1$   
 489 (14)

490  $\{H_k\}: \beta_{k,e(L)} = \frac{m_{k,e(L)}}{1 - \bar{m}_{H,e(L)}}, k = 1, \dots, K$   
 491 (15)

492  $\{H\}: \beta_{H,e(L)} = \frac{\tilde{m}_{H,e(L)}}{1 - \bar{m}_{H,e(L)}}$   
 493 (16)

493 In Eqs. (11),  $m_{k,e(l)}$  and  $m_{H,e(l)}$  indicate the joint probability mass assigned to the  
494 grade  $H_k$ , and the one not assigned to any grade, respectively, which are generated  
495 based on the aggregation of the first  $l$  attributes. As  $m_{k,e(1)} = m_{k,1}$  and  $m_{H,e(1)} = m_{H,1}$ , Eqs.  
496 (11) through (13) are equivalent to Eqs. (7) through (9), when  $l = 1$ . In Eq. (16),  $\beta_{H,e(L)}$   
497 indicates the remaining degree of belief that is not assigned to any grade  $H_k$  (Kong et  
498 al., 2015a). It should be mentioned that  $\sum_{k=1}^K \beta_{k,e(L)} + \beta_{H,e(L)} = 1$ , which has been proven  
499 by Yang and Xu (2002a). We can use  $S(D_n) = \left\{ (H_k, \beta_{k,e(L)}) \mid k = 1, \dots, K \right\}$  to represent  
500 the combined assessment for an alternative.

501 It is clear that the distributed assessments are combined on a one-by-one basis  
502 using the recursive ER algorithm, which has the advantage of clarity in its concept  
503 (Wang et al., 2006). In situations such as optimization of parameters (e.g., weights of  
504 attributes) of models constructed by the ER approach for data classification, we need an  
505 analytical ER algorithm shown in Eqs. (17) through (22), which provides an explicit  
506 form of ER aggregation function.

$$507 \quad \{H_k\}: m_k = J \left( \prod_{l=1}^L (m_{k,l} + \bar{m}_{H,l} + \tilde{m}_{H,l}) - \prod_{l=1}^L (\bar{m}_{H,l} + \tilde{m}_{H,l}) \right), \quad k = 1, \dots, K \quad (17)$$

$$508 \quad \{H\}: \tilde{m}_H = J \left( \prod_{l=1}^L (\bar{m}_{H,l} + \tilde{m}_{H,l}) - \prod_{l=1}^L \bar{m}_{H,l} \right) \quad (18)$$

$$509 \quad \{H\}: \bar{m}_H = J \left( \prod_{l=1}^L \bar{m}_{H,l} \right) \quad (19)$$

$$510 \quad J = \left( \sum_{k=1}^K \prod_{l=1}^L (m_{k,l} + \bar{m}_{H,l} + \tilde{m}_{H,l}) - (N-1) \prod_{l=1}^L (\bar{m}_{H,l} + \tilde{m}_{H,l}) \right)^{-1} \quad (20)$$

$$511 \quad \{H_k\}: \beta_k = \frac{m_k}{1 - \bar{m}_H}, \quad k = 1, \dots, K \quad (21)$$

$$512 \quad \{H\}: \beta_H = \frac{\tilde{m}_H}{1 - \bar{m}_H} \quad (22)$$

513 In Eq. (17),  $m_k$  denotes the joint probability mass for the grade  $H_k$ . In Eqs. (18)  
514 and (19),  $\tilde{m}_H$  and  $\bar{m}_H$  constitute the joint probability mass that is assigned to the whole  
515 grade set  $H$  rather than any individual grade. In Eqs. (21) and (22),  $\beta_k$  and  $\beta_H$  are the

516 degree of belief assigned to the grade  $H_k$  and the one not assigned to any grade,  
517 respectively, in the aggregated result. We can use  $S(D_n) = \{(H_k, \beta_k) | k = 1, \dots, K\}$  to  
518 represent the overall assessment of an alternative  $D_n$ , which satisfies the equation that

519 
$$\sum_{k=1}^K \beta_k + \beta_H = 1$$
 (Tang et al., 2012).

520 The recursive and analytical ER algorithms are equivalent (Wang et al., 2006). The  
521 analytical ER algorithm provides the ER approach with more flexibility to aggregate a  
522 large number of attributes (or environmental factors) (Wang et al., 2006), which  
523 features nonlinearity (Yang and Xu, 2002b) and makes it easy to estimate and optimize  
524 the parameters such as weights of attributes (Wang et al., 2006). It also offers a direct  
525 way to perform sensitivity analysis for the ER approach parameters, e.g., degree of  
526 belief and weight (Wang et al., 2006). Of note is that the recursive and analytical ER  
527 algorithms do not have issues of convergence, as only a finite number of attributes are  
528 taken into consideration in an MADA problem (Wang et al., 2006). In this study, the  
529 analytical ER algorithm is applied to the aggregation of the distributed assessments  
530 which is implemented using a decision support software ‘Intelligent Decision System  
531 (IDS)’ (Xu and Yang, 2005).

532 The distributed assessment for each attribute can be used to identify the strengths  
533 and weaknesses of each alternative (Kong et al., 2015b). However, the results of  
534 distributed assessment may not be directly used to rank alternatives (Kong et al., 2015b).  
535 To facilitate the ranking on one or all attributes, a single score is needed to denote the  
536 performance for each alternative (Kong et al., 2015b). The expected utility is used by  
537 Yang and Xu (2002a) to produce a single numerical value based on each distributed  
538 assessment to rank alternatives. It is generated by  $\mu(E) = \sum_{k=1}^K \beta_k \mu(H_k)$  where  
539  $\mu(E)$ ,  $\beta_k$ , and  $H_k$  represent the expected utility, the degree of belief assigned to the  
540 grade  $H_k$  in the aggregated result, and the  $k^{th}$  assessment grade, respectively. It will be  
541 demonstrated in Section 4 of this paper.

542 Overall, there are several advantages for using the ER approach to assess the safety  
543 risk for the marine traffic in the Arctic waters. First of all, a new framework of belief is  
544 provided to establish models and synthesize subjective and objective environmental

545 factors for safety of Arctic marine traffic under high uncertainty. In the second place,  
546 we can use the ER approach to generate distributed assessments and the contributing  
547 factors for safety environments of the marine traffic in different Arctic waters. Thus, we  
548 can compare the strengths and weaknesses of different safety environments for Arctic  
549 marine traffic. Additionally, the distributed assessments can be used to generate the  
550 numerical safety scores by the ER approach to help us decide which Arctic water area is  
551 more navigable. Furthermore, only judgement independence among contributing factors  
552 of safety is required in the ER approach, which is comparatively easy to check (Xu et al.,  
553 2006). Despite these advantages, the ER approach has some limitations. Compared with  
554 other information aggregation methods, the ER approach represents both qualitative  
555 information and quantitative data in belief distributions, which essentially requires more  
556 granular information and data and also increases computational complexity. In addition,  
557 if there is no local and global ignorance in the problems, the ER approach is reduced to  
558 Bayesian inference, which has a wider range of software tools for implementation.

559

#### 560 **4. Application of the ER approach to the Arctic waters**

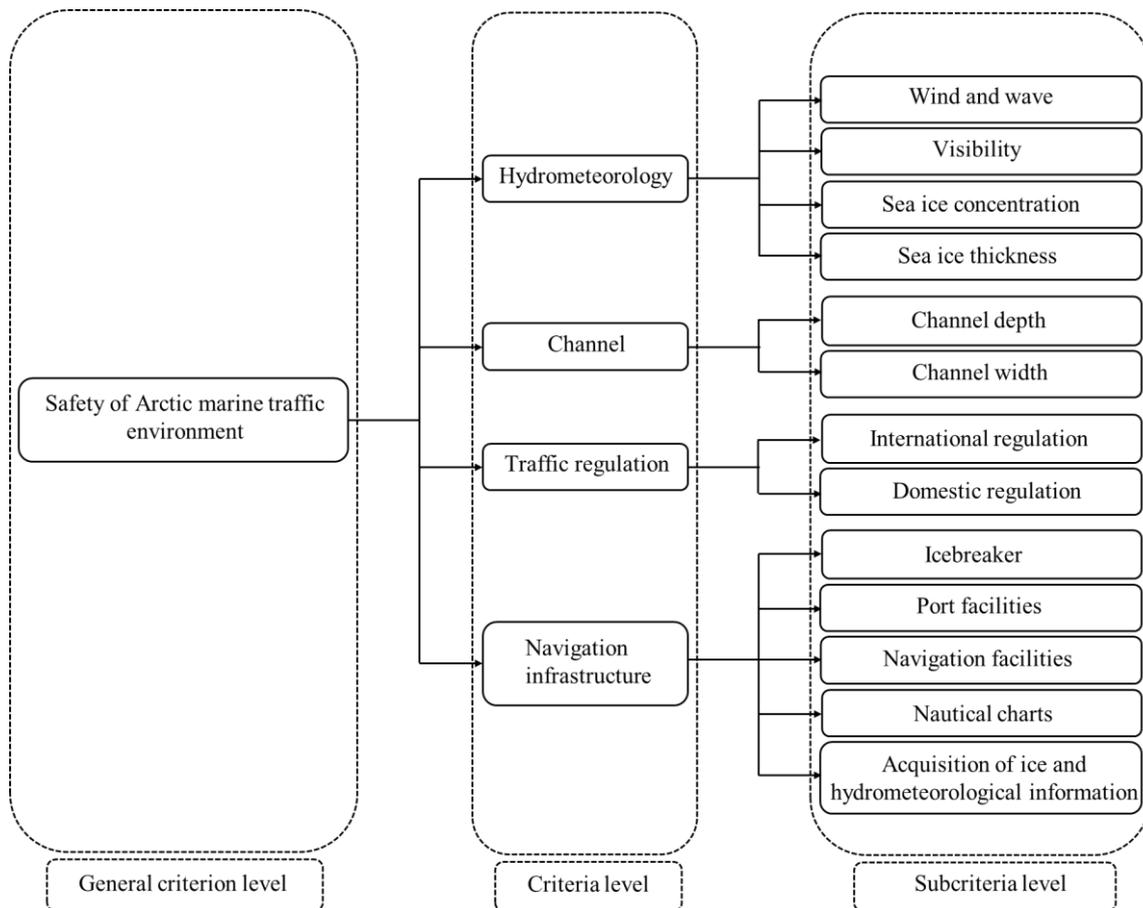
561

562 According to the domain knowledge, expert discussions, and literature analysis  
563 for the relevant studies, a set of environmental factors of safety are selected from 4  
564 aspects introduced and justified in Section 2.2 to reflect the characteristics of the Arctic  
565 marine traffic environment. Using these factors, a hierarchical model is established for  
566 the safety evaluation of Arctic marine traffic, which is displayed in Fig. 1. There are  
567 three levels in the model. The top level, ‘General criterion level’, indicates the safety of  
568 the Arctic marine traffic environment, which is the output of the evaluation. The second  
569 level, the criteria level, indicates 4 environmental criteria (aspects of environmental  
570 factors) of safety, namely, hydrometeorology, channel, traffic regulation, and navigation  
571 infrastructure. The third level, i.e., the sub-criteria level, which is based on the second  
572 level, includes the environmental sub-criteria (environmental factors) of safety used as  
573 the input for the evaluation. All of these sub-criteria can be evaluated directly through  
574 quantitative data or qualitative judgements. Based on the hierarchical model, the ER  
575 approach is used to evaluate the safety of Arctic marine traffic environment following  
576 the research steps explained below.

577

578 4.1. Step 1: Definition of evaluation grades of safety

579 Evaluation grades of safety are the unified benchmark for quantitative data  
 580 collected from the vessel ‘Tian You’ and qualitative judgements from domain experts  
 581 for the environmental sub-criteria. A set of five-degree evaluation grades of safety is  
 582 used in this study, which includes ‘Best’, ‘Good’, ‘Fair’, ‘Poor’, and ‘Worst’. The five-  
 583 degree grades are applied to each level of the hierarchical model. They are established  
 584 based on the relevant studies (e.g., Khan et al., 2014; Kum and Sahin, 2015; Fu et al.,  
 585 2016), reports (e.g., Arctic Council, 2009; American Bureau of Shipping, 2014),  
 586 international codes (Deggim, 2018), and intensive discussions with domain experts. In  
 587 light of the mapping relationship of evaluation results between adjacent levels, it is  
 588 assumed in this study that the evaluation result of each grade in the lower level are  
 589 completely transformed to the same relevant grade in the upper level. An example is  
 590 that the ‘fair’ in the lower level can be transformed to its counterpart in the upper level  
 591 with a belief degree of 100%.



592

593 **Fig. 1.** The hierarchical model for environmental evaluation of Arctic marine traffic

594

595 4.2. Step 2: Data input

596

597 The five-degree evaluation grades of safety are well defined for different  
598 environmental sub-criteria. Here, ‘International regulation’ is taken as an example to  
599 interpret the five-degree grades. ‘Best’ indicates a comprehensive and excellent  
600 regulation system with a very strict implementation; ‘Good’ denotes a satisfactory one  
601 with a strict implementation; ‘Fair’ represents an acceptable one with a normal  
602 implementation; ‘Poor’ means a barely acceptable one with a weak implementation;  
603 ‘Worst’ signifies that there is currently no appropriate regulation system. Another  
604 example is ‘Sea ice concentration’. In this environmental factor, ‘Best’, ‘Good’, ‘Fair’,  
605 ‘Poor’, and ‘Worst’ indicate that the sea ice concentration is perfectly suitable, suitable,  
606 acceptable, barely acceptable, and unacceptable, respectively, for navigation.

607 Based on the set of five-degree grades, quantitative data are transformed to  
608 distributed assessments based on a belief structure. To perform such a transformation, it  
609 is fundamental to decide the rules about linking a specific numerical value to each  
610 evaluation grade (Yang, 2001a). Suppose that a referential value  
611  $A_{k,l}$  ( $k=1, \dots, K; l=1, \dots, L$ ) for the  $l^{th}$  environmental sub-criterion is equivalent to an  
612 evaluation grade  $H_k$ .  $A_{1,l}$  and  $A_{K,l}$  are the smallest and largest feasible value  
613 respectively, and a referential value  $A_{k+1,l}$  is preferred to a smaller one  $A_{k,l}$ . Given that  
614  $x_{i,l}$  is the  $i^{th}$  numerical value of the  $l^{th}$  environmental sub-criterion,  $x_{i,l}$  can be  
615 transformed into a belief distribution of evaluation grades using Eqs. (23) and (24)  
616 (Yang, 2001b).

617 
$$S_i(x_{i,l}) = \{(A_{k,l}, \alpha_{k,i}) | k=1, \dots, K; l=1, \dots, L; i=1, \dots, T\} \quad (23)$$

618 where

619 
$$\alpha_{k,i} = \frac{A_{k+1,l} - x_{i,l}}{A_{k+1,l} - A_{k,l}}, \alpha_{k+1,i} = 1 - \alpha_{k,i}, \text{ if } A_{k,l} \leq x_{i,l} \leq A_{k+1,l} \quad (24)$$

620 In Eqs. (23) and (24),  $S_i(x_{i,l})$  represents the belief distribution of evaluation  
621 grades for  $x_{i,l}$ , and  $\alpha_{k,i}$  indicates the similarity degree to which  $x_{i,l}$  matches the  
622 referential value  $A_{k,l}$ . To illustrate how to transform continuous numerical values into

623 distributed assessments, ‘Sea ice concentration’ is taken as an example. According to  
 624 Pastusiak (2016), if the sea ice concentration ranges between 0% and 10%, a vessel can  
 625 navigate at full operating speed over a long period of time, and it can be kept away from  
 626 any ice floes on the sea route without a significant speed reduction. When the sea ice  
 627 concentration is greater than 10% but less than 15%, a vessel can navigate without  
 628 obstruction (Pastusiak, 2016). If the ice concentration is between 15% and 40%, a  
 629 vessel can maintain operating speed for about 3/4 of the sea route, and needs to reduce  
 630 speed for approximately 1/4 of the route (Pastusiak, 2016). Sea ice concentration  
 631 worsens when it is between 40% and 70%. It becomes impossible for independent  
 632 navigation of vessels, if the sea ice concentration exceeds 70% (Pastusiak, 2016). Let  
 633 0%, 15%, 40%, 70%, and 100% be the referential values for ‘Best’, ‘Good’, ‘Fair’,  
 634 ‘Poor’, and ‘Worst’, respectively. Given that the sea ice concentration is 30%, we can  
 635 obtain the associated belief degrees:  $40\% \left( \frac{40\% - 30\%}{40\% - 15\%} = 40\% \right)$  and  $60\%$

636  $\left( 1 - \frac{40\% - 30\%}{40\% - 15\%} = 60\% \right)$  for the evaluation grades: ‘Good’ and ‘Fair’, respectively.

637 Table 5 provides the sets of referential values for sub-criteria in ‘Hydrometeorology’  
 638 (except the sub-criteria of ‘Wind and wave’ and ‘Visibility’) and ‘Channel’. In terms of  
 639 ‘Wind and wave’, the transformation rule between Beaufort levels and the evaluation  
 640 grades is that Beaufort level 0-2, 3-5, 6-7, 8-9, and 10-12 respectively indicate ‘Best’,  
 641 ‘Good’, ‘Fair’, ‘Poor’, and ‘Worst’. For ‘Visibility’, the transformation rule from  
 642 visibility level to the evaluation grades is that level 1-2, 3-4, 5-6, 7-8, and 9-10 are  
 643 linked to ‘Worst’, ‘Poor’, ‘Fair’, ‘Good’, and ‘Best’, respectively.

644 In this study, we sampled hydrometeorological data (average values) at specific  
 645 dates of three locations in East Siberian, Laptev, and Kara Sea for the environmental  
 646 evaluation, which are displayed in Table 6. Regarding the tempo-spatial resolution of  
 647 the data, as mentioned, all the quantitative data (including sea ice concentration and  
 648 thickness, and channel depth and width) were collected in the period between the 26<sup>th</sup>  
 649 August and the 20<sup>th</sup> September in 2019 which is within the window period for the  
 650 navigation in the Russian Arctic waters. Thus, the collected quantitative data can be  
 651 considered consistent in the temporal dimension. According to the captain of ‘Tian  
 652 You’, the speed of ‘Tian You’ is 12 knots at most time of the Arctic voyage. In two

653 days, ‘Tian You’ can sail about  $12 \times 24 \times 2 = 576$  nautical miles (nmi)  $\approx 1066.752$  km.  
 654 Since the distance between any two of the three vessel locations (sampled respectively  
 655 on September 8th, 10th, and 12th in 2019) is larger than 1,000 km, the  
 656 hydrometeorological data including the ice data of any two locations can be generally  
 657 considered independent from each other.

658

659 **Table 5**

660 Referential values for hydrometeorological and channel data

Evaluation grades	Sea ice concentration (%)	Sea ice thickness (cm)	Channel depth (m)	Channel width (nmi)
Best	0	0	1000	1000
Good	15	30	100	100
Fair	40	100	50	30
Poor	70	200	20	6
Worst	100	500	4	1

661 Source: Arctic Council, 2009; Pastusiak, 2016.

662

663 **Table 6**

664 Hydrometeorological and channel data for three locations of ‘Tian You’ in the Arctic  
 665 waters

Name of sea that the location belongs to	Date	Latitudes and longitudes of Vessels locations at 12:00 pm of the date	Wind and wave (Beaufort level)	Visibility (level)	Sea ice concentration (%)	Sea ice thickness (cm)	Channel depth (m)	Channel width (nmi)
East Siberian Sea	Sept. 8 <sup>th</sup> , 2019	71°5.5N, 163°27.3E	3	7	0	0	22.9	620
							5	

Laptev Sea	Sept. 10 <sup>th</sup> , 2019	74°50.4N, 135°15.2E	7	6	0	0	36.1	67.8
Kara Sea	Sept. 12 <sup>th</sup> , 2019	77°50.8, 96°44.0	3	7	16	210	139.5	104

666

667 For the qualitative environmental sub-criteria (e.g., ‘Port facilities’ and ‘Nautical  
668 charts’), expert judgements based on the knowledge provided in Section 2.2 were  
669 collected from 8 domain experts in the relevant fields as mentioned in Section 2.1, and  
670 they are merged with the same weights due to the experts’ similar backgrounds. The  
671 combined expert judgements are in the form of belief degree distribution, i.e.,  
672  $\{\beta_B, \beta_G, \beta_F, \beta_P, \beta_W\}$  in which  $\beta_B, \beta_G, \beta_F, \beta_P,$  and  $\beta_W \subseteq [0,1]$  , and  
673  $\beta_B + \beta_G + \beta_F + \beta_P + \beta_W \leq 1$  .  $\beta_B, \beta_G, \beta_F, \beta_P,$  and  $\beta_W$  indicate the belief degrees  
674 distributed to the evaluation grades: ‘Best’, ‘Good’, ‘Fair’, ‘Poor’, and ‘Worst’,  
675 respectively. If the sum of the belief degrees is less than 1, the judgement is considered  
676 to be incomplete, and there is uncertainty in input data. For instance, a combined result  
677 of expert judgements  $\{0.5, 0.3, 0.1, 0, 0\}$  indicates that based on the judgements, we  
678 should have a credence of 50%, 30%, 10% in the truth of ‘Best’, ‘Good’, and ‘Fair’,  
679 respectively, and we have complete confidence that ‘Poor’ and ‘Worst’ are not true. The  
680 remaining 10% in the result is for uncertainty caused by ignorance or lack of knowledge.  
681 Using the data and judgement transformation techniques illustrated in this section, we  
682 can obtain the evaluation results of all the environmental sub-criteria of safety for the  
683 location in East Siberian Sea, which are displayed in Table 7. The results for other  
684 locations in Laptev Sea and Kara Sea are displayed in Appendix. A.

685

686 **Table 7**

687 Evaluation results of all the environmental sub-criteria for the location of ‘Tian You’ in  
688 East Siberian Sea

Criteria	Sub-criteria	Belief degrees for evaluation grades				
		Best	Good	Fair	Poor	Worst
Hydrometeorology	Wind and wave	0	1	0	0	0

---

	Visibility	0	1	0	0	0
	Sea ice concentration	1	0	0	0	0
	Sea ice thickness	1	0	0	0	0
Channel	Channel depth	0	0	0.10	0.90	0
	Channel width	0.58	0.42	0	0	0
Traffic regulation	International regulation	0.07	0.71	0.12	0	0
	Domestic regulation	0	0.34	0.57	0	0
Navigation infrastructure	Icebreaker	0	0	0.16	0.54	0.22
	Port facilities	0	0	0.03	0.20	0.68
	Navigation facilities	0	0	0.27	0.30	0.36
	Nautical charts	0	0.22	0.63	0.05	0
	Acquisition of ice and hydrometeorological information	0	0.18	0.53	0.21	0

---

689

690 *4.3. Step 3: Calculation of weights*

691

692 In this study, the AHP method (Ahn, 2017; Forman and Gass, 2001; Saaty, 1986,  
693 1980) was used to determine the weights for criteria and sub-criteria used in  
694 assessments aggregation. First of all, pairwise comparison based on a relative  
695 importance scale (shown in Table 8) was conducted for criteria and sub-criteria among  
696 8 experts from the domains mentioned in Section 2.1. These experts are from maritime  
697 shipping companies, maritime universities, maritime authorities, and classification  
698 societies. Their backgrounds including qualifications and working experience are  
699 similar. The sources from which they obtain information about the safety environment  
700 of Arctic marine traffic are basically the same, which include Russian maritime  
701 authorities, websites about related information, and shipping companies such as  
702 COSCO Shipping. Their knowledge about the safety environment of Arctic marine  
703 traffic is similar. Considering all the above facts, each expert's judgement for pairwise  
704 comparison is assigned the same weight. Using these weights, the expert judgements are

705 merged to generate 5 pairwise comparison matrices in terms of the levels of criteria and  
 706 sub-criteria. Given the criteria or sub-criteria:  $A_1, \dots, A_n$ , these pairwise comparison  
 707 matrices are in the form of matrix A shown in Eq. (25).

$$708 \quad A = (a_{ij})_{n \times n} = \begin{bmatrix} 1 & a_{12} & \cdots & a_{1n} \\ \frac{1}{a_{12}} & 1 & \cdots & a_{2n} \\ \vdots & \vdots & \ddots & \vdots \\ \frac{1}{a_{1n}} & \frac{1}{a_{2n}} & \cdots & 1 \end{bmatrix} \quad (25)$$

709 In matrix A,  $a_{ij}$  indicates the ratio of relative importance between  $A_i$  and  $A_j$ .  
 710 Furthermore, we can calculate the weighting vector of index k using Eq. (26).

$$711 \quad w_k = \frac{1}{n} \sum_{j=1}^n \left( \frac{a_{kj}}{\sum_{i=1}^n a_{ij}} \right) \quad (k = 1, \dots, n) \quad (26)$$

712 As shown in Eq. (26),  $w_k$ , the weight for  $A_k$ , is the arithmetic average of entries  
 713 of the matrix which is composed of normalized column vectors of matrix A.

714

715 **Table 8**

716 Importance scale of pairwise comparison

Importance scale	Definition
1	Equal importance
3	Weak importance of one over another
5	Strong importance
7	Very strong importance
9	Extreme importance
2, 4, 6, 8	Intermediate values between two adjacent judgements
Reciprocals	If one of the above number is assigned to criterion i which is in comparison with criterion j, j is assigned reciprocal value when compared with i.

717 Data source: Saaty, 1990.

718

719 To check whether the comparison judgement is reasonable, the consistency ratio  
720 is used. The judgement is considered to be reasonable, if the consistency ratio (CR) is  
721 not greater than 0.10 (Anderson et al., 2003). The ratio can be approximated by the Eq.  
722 (27).

$$723 \quad CR = \frac{CI}{RI} \quad (27)$$

724 In Eq. (27), CR is abbreviated for consistency ratio. CI represents consistency  
725 index which can be generated using Eq. (28). RI is short for random index based on the  
726 size of matrix which is shown in Table 9.

$$727 \quad CI = \frac{\lambda_{\max} - n}{n - 1} \quad (28)$$

728 In Eq. (28),  $\lambda_{\max}$  is the largest eigenvalue of matrix A.

729

730 **Table 9**

731 Average values of random index

Size	2	3	4	5	6	7	8	9	10
of matrix									
RI	0	0.58	0.90	1.12	1.24	1.32	1.41	1.45	1.49

732 Data source: Anderson et al., 2003.

733 By using the method described above, the weights for criteria and sub-criteria are  
734 displayed in Table 10. All of the consistency ratios for the pairwise comparisons are less  
735 than 0.1, hence the inconsistency of the comparison judgements is acceptable.

736

737 **Table 10**

738 Weights for criteria and sub-criteria in the hierarchical model

Criteria	Weights	Sub-criteria	Weights
Hydrometeorology	0.4778	Wind and wave	0.1570
		Visibility	0.0882
		Sea ice concentration	0.4829

		Sea ice thickness	0.2720
Channel	0.2561	Channel depth	0.6667
		Channel width	0.3333
Traffic regulation	0.1281	International regulation	0.3333
		Domestic regulation	0.6667
Navigation infrastructure	0.1380	Icebreaker	0.1345
		Port facilities	0.0850
		Navigation facilities	0.1105
		Nautical charts	0.2379
		Acquisition of ice and hydrometeorological information	0.4322

739

740 It is noted that both ER and AHP can be used based on the structure of Fig. 1 to  
741 generate assessments of alternatives. With ER, the degree of belief is generated for each  
742 sub-criterion of model independently, while the logic of AHP model works at the  
743 highest level (e.g., the criteria level), and uses pair-wise comparison to assess the  
744 alternatives against each other (Dehe and Bamford, 2015). It is not practical to facilitate  
745 the pairwise comparison process to identify the weights and assessments for a large  
746 number of sub-criteria. The weighting and assessment process of ER can generate good  
747 consistency while the pairwise comparison process of AHP is less consistent (Dehe and  
748 Bamford, 2015). ER is a more transparent process than the pairwise comparison on  
749 which AHP is based (Dehe and Bamford, 2015). ER is easy to track, while AHP does  
750 not keep track of what happen during the process of pairwise comparison for weights  
751 and assessments. A reliable and appropriate modeling technique to use in the context of  
752 safety assessment is a hybrid method of ER and AHP that is the use of ER to aggregate  
753 assessments based on degrees of belief for sub-criteria and criteria, merged with the  
754 AHP method based on pairwise comparison to generate weights of criteria and sub-  
755 criteria .

756

757 *4.4. Step 4: Aggregation of distributed assessments and calculation of utilities*

758

759 Based on the weights of criteria and sub-criteria, the belief degrees of evaluation  
760 grades are aggregated level by level through the analytical ER algorithm introduced in  
761 Eqs. (17) through (22) of Section 3 to achieve the distributed assessments of the  
762 ‘General criterion level’ for different locations in the Arctic waters. The calculation of  
763 the aggregation is performed using a decision support software ‘Intelligent Decision  
764 System (IDS)’ (Xu and Yang, 2005). With the distributed assessments, we can compare  
765 how safe vessels are in different locations of the Arctic waters. To make a more  
766 intuitive comparison among the safety of different locations, we need to rank these  
767 locations using the expected utilities that are equivalent to distributed assessments. To  
768 achieve the ranking, first of all, we need to assign utility value to each evaluation grade  
769 (Yang and Xu, 2002c). In this study, a set of utility values: 0, 0.25, 0.5, 0.75, and 1 are  
770 assigned to the evaluation grades: ‘Worst’, ‘Poor’, ‘Fair’, ‘Good’, and ‘Best’,  
771 respectively. Here, we use  $H_k$  to indicate an evaluation grade, and  $\mu(H_k)$  to denote its  
772 utility. If  $H_{k+1}$  is preferable to  $H_k$ ,  $\mu(H_{k+1}) > \mu(H_k)$  (Yang and Xu, 2013). The utility  
773 of the general criterion can be generated using Eq. (29).

$$774 \quad \mu(E) = \sum_{k=1}^K \beta_k \mu(H_k) \quad (29)$$

775 Thus, based on Eq. (29), the distributed assessments can be transformed into a utility  
776 value for each location, and we can rank these locations in terms of their utilities of  
777 safety.

778

#### 779 *4.5. Step 5. Sensitivity analysis*

780

781 The sensitivity analysis is performed to validate the soundness of the proposed  
782 hierarchical model, which is very important when subjective judgements are involved in  
783 the model. In this study, the sensitivity analysis was conducted to observe how sensitive  
784 the output of an evaluation model is to the slight changes in the weights of criteria of the  
785 proposed model.

786

## 787 **5. Results and discussion**

788

789 Using the data inputs and methods illustrated in Sections 2, 3, and 4, we can  
 790 achieve the distributions of belief degrees of evaluation grades in the ‘Criteria level’ and  
 791 ‘General criterion level’ of the model, which are shown in Table 11 and Fig. 2,  
 792 respectively.

793

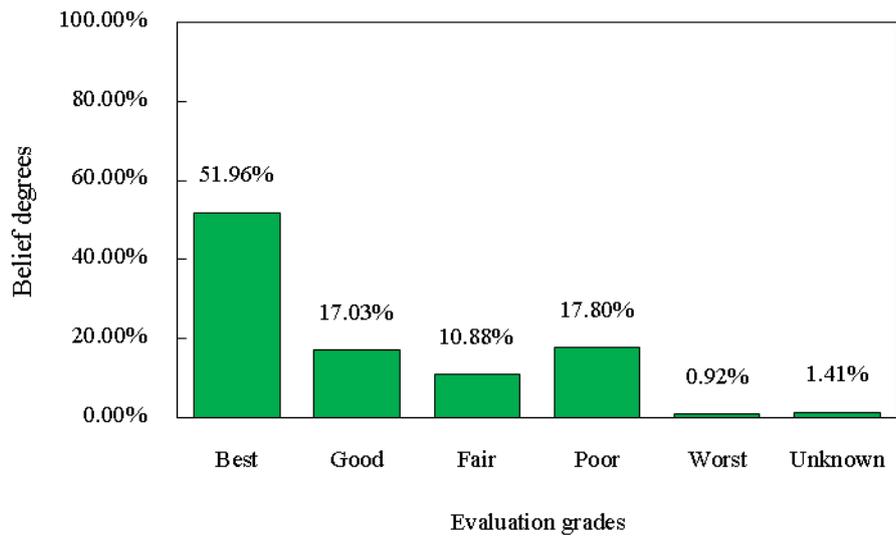
794 **Table 11**

795 The distribution of belief degrees of evaluation grades in ‘Criteria level’ for 3 locations  
 796 in East Siberian, Laptev, and Kara Sea

Criteria	Sea of locations	Best	Good	Fair	Poor	Worst	Unknown
Hydrometeorology	East Siberian	0.846	0.154	0	0	0	0
	Laptev	0.846	0	0.154	0	0	0
	Kara	0	0.781	0.020	0.193	0.006	0
Channel	East Siberian	0.116	0.084	0.080	0.720	0	0
	Laptev	0	0.098	0.567	0.335	0	0
	Kara	0.023	0.977	0	0	0	0
Traffic regulation	East Siberian	0.014	0.460	0.447	0	0	0.080
	Laptev	0.027	0.615	0.281	0	0	0.077
	Kara	0.049	0.558	0.329	0	0	0.065
Navigation infrastructure	East Siberian	0	0.132	0.482	0.217	0.095	0.073
	Laptev	0	0.124	0.455	0.328	0.019	0.075
	Kara	0	0.208	0.542	0.185	0	0.066

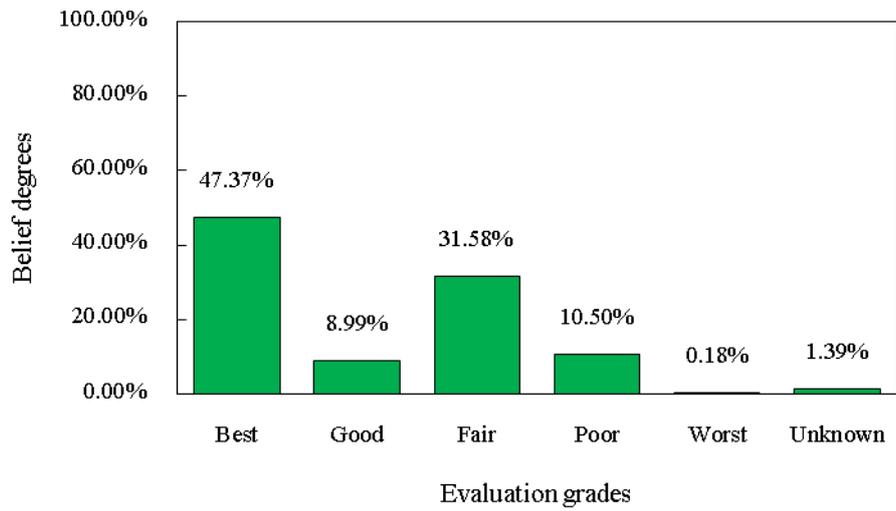
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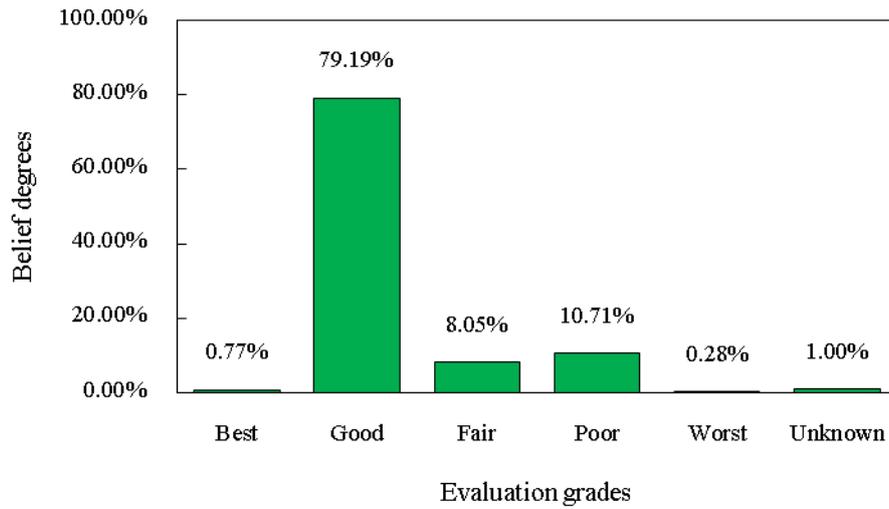
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(a) East Siberian Sea



801  
802

(b) Laptev Sea



803

804

(c) Kara Sea

805 **Fig. 2. The distribution of belief degrees of evaluation grades in ‘General criterion**  
 806 **level’ for 3 locations in East Siberian, Laptev, and Kara Sea**

807

808 From Table 11, it can be found that the 3 locations in East Siberian, Laptev, and  
 809 Kara Sea generally have similar distributions of belief degrees in terms of ‘Traffic  
 810 regulation’ and ‘Navigation infrastructure’. In light of ‘Hydrometeorology’, both East  
 811 Siberian and Laptev Sea have a large belief degree in the grade ‘Best’, while a small  
 812 one distributed in ‘Good’ and ‘Fair’. For the ‘Channel’, East Siberian, Laptev, and Kara  
 813 Sea have a prevailing high belief degree in ‘Poor’, ‘Fair’, and ‘Good’, respectively, and  
 814 small belief degrees in other grades. In Fig. 2, it is clear that the belief degree  
 815 distribution of Kara Sea is significantly different from the distributions of East Siberian  
 816 and Laptev Sea which are similar. It should be noted that the part of ‘Unknown’ present  
 817 in the evaluation indicates the experts’ epistemic uncertainties which may come from  
 818 knowledge and information deficit, partial understanding, underconfidence in  
 819 judgements, etc.

820

821 To compare the safety level of the locations more intuitively, the utilities of the  
 822 general criterion for the locations in the three seas were generated using Eq. (23), which  
 823 transforms distributed assessments to numerical values to facilitate ranking. In this  
 824 study, the larger the utility is, the more safely a vessel can navigate in the Arctic waters.  
 825 As the ‘Unknown’ part of the evaluation results can be assigned to the grades of ‘Best’  
 and ‘Worst’ to respectively generate the expected maximum and minimum utilities, we

826 can use the average value of the minimum and maximum utilities to rank the safety  
 827 level of these locations. Table 12 displays the minimum, maximum, and average  
 828 utilities of the locations in terms of criteria, and Fig. 3 presents the overall minimum,  
 829 maximum, and average utilities of the locations.

830

831 **Table 12**

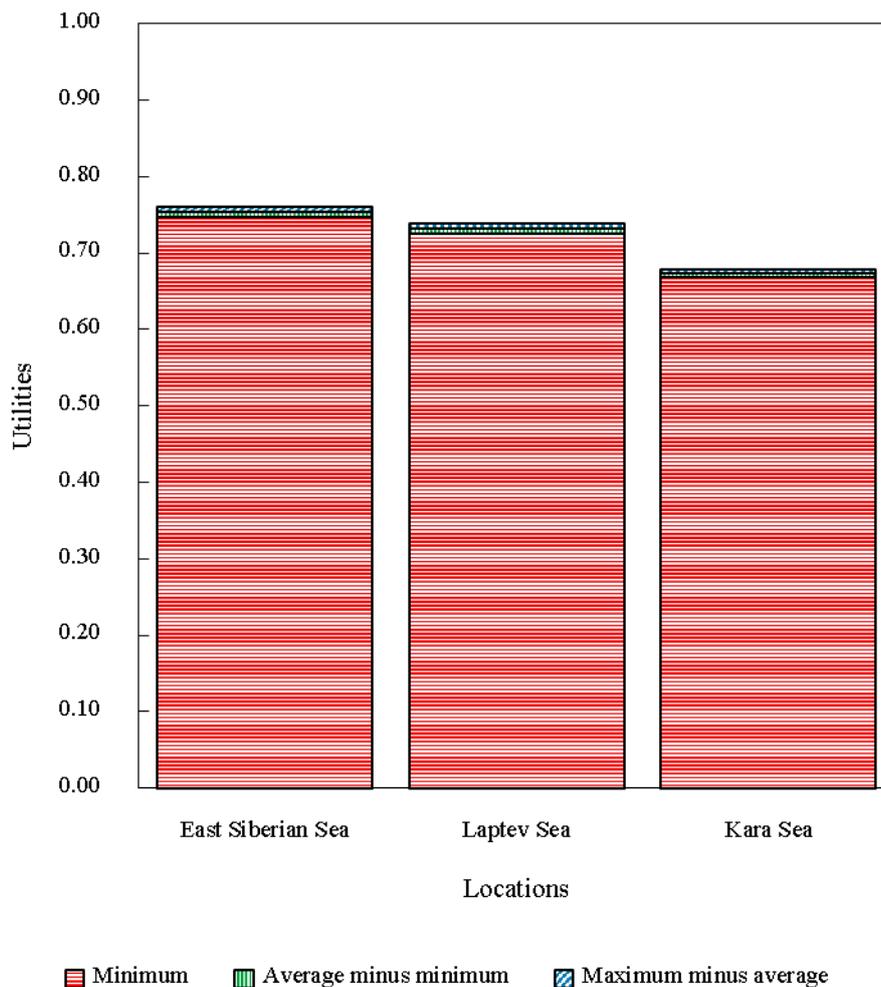
832 The minimum, maximum, and average utilities of 3 locations of Arctic waters in the  
 833 ‘Criteria’ level

Criteria	Location	Minimum utility	Maximum utility	Average utility
Hydrometeorology	East	0.9616	0.9616	0.9616
	Siberian			
	Laptev	0.9231	0.9231	0.9231
	Kara	0.6441	0.6441	0.6441
Channel	East	0.3990	0.3990	0.3990
	Siberian			
	Laptev	0.4409	0.4409	0.4409
	Kara	0.7558	0.7558	0.7558
Traffic regulation	East	0.5818	0.6618	0.6218
	Siberian			
	Laptev	0.6289	0.7059	0.6674
	Kara	0.6314	0.6962	0.6638
Navigation infrastructure	East	0.3947	0.4675	0.4311
	Siberian			
	Laptev	0.4020	0.4772	0.4396
	Kara	0.4730	0.5388	0.5059

834

835 Of note is that the minimum, maximum, and average utilities of each location in  
 836 the criteria of ‘Hydrometeorology’ and ‘Channel’ are equal, while those in ‘Traffic  
 837 regulation’ and ‘Navigation infrastructure’ are different, as the former ones were  
 838 calculated based on quantitative data collected from voyage of ‘Tian You’ and the latter  
 839 ones were generated based on the expert judgements. From Table 12, it is clear that the

840 average utilities of the locations in the criteria of ‘Traffic regulation’ and ‘Navigation  
 841 infrastructure’ are distributed in the narrow ranges of 0.62-0.67 and 0.43-0.51. This  
 842 suggests that the traffic regulation systems for the three locations are generally  
 843 satisfactory while the navigation infrastructure of the locations is in an average  
 844 condition which may need improvement. In light of ‘Hydrometeorology’, East Siberian  
 845 and Laptev Sea achieve high average utilities approaching 1, which are far better than  
 846 the counterpart of Kara Sea. This indicates that the hydrometeorological environment of  
 847 East Siberian and Laptev Sea in the first half of September is very suitable for the  
 848 vessels navigation. On the contrary, in the criterion of ‘Channel’, Kara Sea has a utility  
 849 value of 0.7558 while the utilities of the other two seas are in a range of 0.39-0.45. This  
 850 tells us that the geographical condition of Kara Sea is satisfactory while the  
 851 geographical conditions of East Siberian and Laptev Sea are barely acceptable.  
 852



853

854 **Fig. 3. The overall minimum, average, maximum utilities of 3 locations of Arctic**  
855 **waters**

856

857 In terms of the overall utilities of the locations, East Siberian Sea ranks the first,  
858 which has an average utility of 0.7532, followed by Laptev and Kara Sea with  
859 respective utilities of 0.7322 and 0.6736. It is of note that the uncertainties (green and  
860 blue parts of Fig. 3) present in the overall utilities do not affect the final ranking of the  
861 locations as they are all less than 0.008. The overall utilities of these locations imply  
862 that the environment of the locations in East Siberian and Laptev Sea is generally  
863 suitable for vessels navigation in the first half of September, which is significantly  
864 better than that of Kara Sea.

865 To test the soundness of the model, we conducted the sensitivity analysis which  
866 focuses on how the variations of weights affect the overall utilities of the vessel  
867 locations. The weights play an important role in the variation of utilities. The increase  
868 or decrease of weight of a given criterion can lead to associated increase or decrease of  
869 average utility of a vessel location which has a good performance in the given criterion.  
870 Based on the fact, two hypotheses have been proposed to validate the soundness of the  
871 model.

872

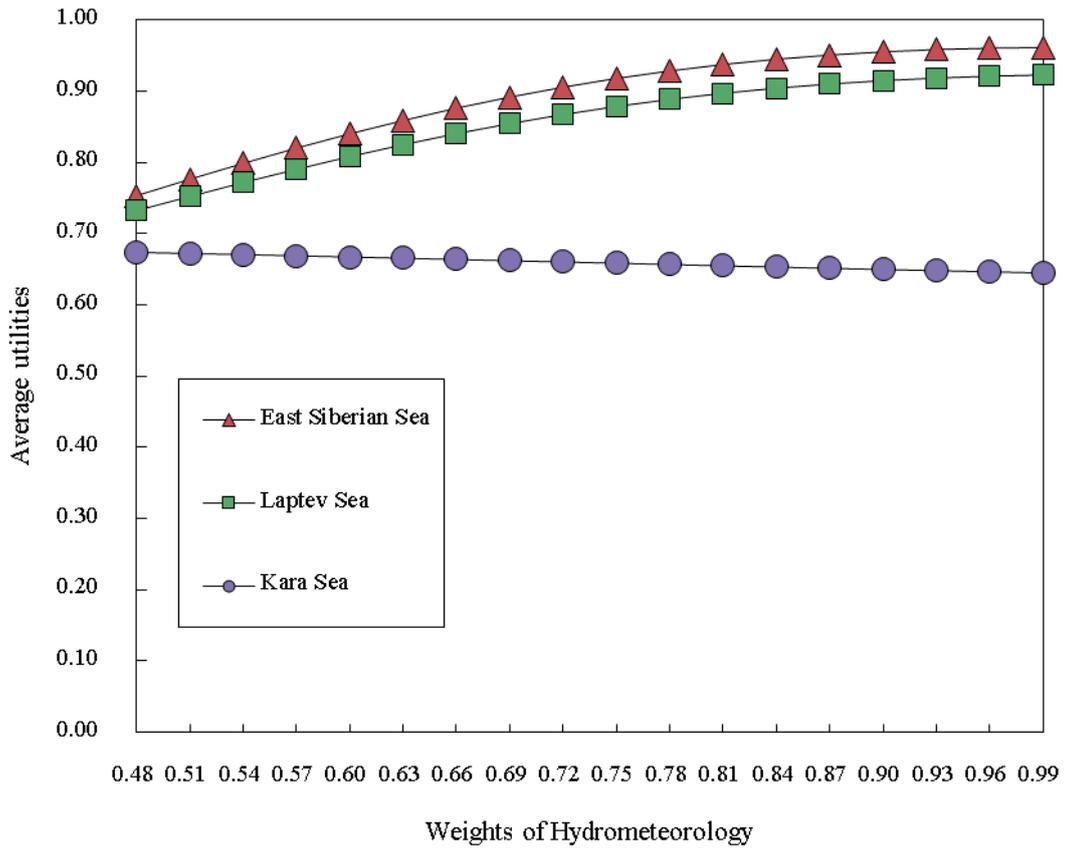
873 **Hypothesis 1:** The increase of the weight of the criterion ‘Hydrometeorology’ will lead  
874 to the increase of the average utility of ‘East Siberian Sea’.

875 **Hypothesis 2:** The increase of the weight of the criterion ‘Channel’ will lead to the  
876 increase of the average utility of ‘Kara Sea’.

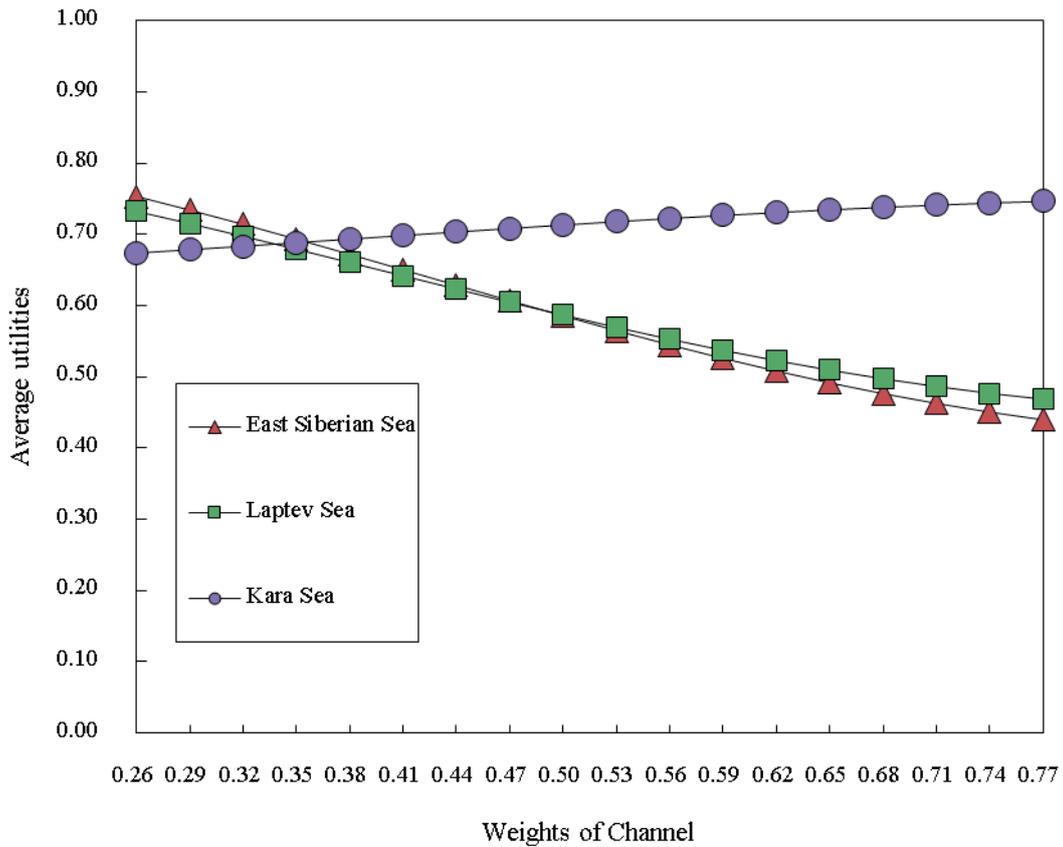
877

878 The weights of ‘Hydrometeorology’, ‘Channel’, ‘Traffic regulation’, and  
879 ‘Navigation infrastructure’ in the criteria level are approximately 0.48, 0.26, 0.13, and  
880 0.14 respectively. To study how the increase of the weight of ‘Hydrometeorology’  
881 affects the average utility of ‘East Siberian Sea’ (Hypothesis 1), the weight of  
882 ‘Hydrometeorology’ is increased from about 0.48 to about 1 with a step of 0.03, while  
883 the weights of other criteria are decreased simultaneously and they share the same ratio.  
884 The change of weights and the associated change of utilities are shown in Fig. 4, and  
885 Table A-III of Appendix. A displays all the relevant weights and utilities for the data

886 points of Fig. 4. For Hypothesis 2, we focus on the variation of the average utilities of  
 887 'Kara Sea' with the change of weight of 'Traffic regulation'. Fig. 5 presents the  
 888 variation of weights and the associated variation of utilities, and all the relevant weights  
 889 and utilities for the sensitivity analysis of weight of 'Channel' (Fig. 5) are shown in  
 890 Table A-IV of Appendix. A.



891  
 892 **Fig. 4. Variation tendency of utilities with change of weights of Hydrometeorology**  
 893



**Fig. 5. Variation tendency of utilities with change of weights of Channel**

As shown in Fig. 4, there is a significant growing tendency for the utilities of East Siberian Sea when the weight of ‘Hydrometeorology’ is increased. The increasing tendency for the utilities of ‘Kara Sea’ is also observed in Fig. 5 where the weight of ‘Channel’ is increased from about 0.26 to about 0.77. These findings verify that the Hypotheses 1 and 2 that we propose in this section are tenable, which indicates that the proposed model in this study is rational and feasible.

## 6. Conclusions

In this paper, a new model based on the ER approach is proposed for the safety evaluation of Arctic marine traffic environment. 13 sub-criteria from perspectives of ‘Hydrometeorology’, ‘Channel’, ‘Traffic regulation’, and ‘Navigation infrastructure’ are

909 considered in the model. A case study based on the NEP voyage of the general cargo  
910 vessel ‘Tian You’ is conducted to illustrate how to use the ER approach to establish the  
911 model and conduct a sensitivity analysis to validate the model. The evaluation results  
912 show that the locations in East Siberian and Laptev Sea generally have a better  
913 navigation environment than the one in Kara Sea, but the navigation infrastructure in  
914 East Siberian and Laptev Sea needs to be improved. The results of sensitivity analysis  
915 validate the rationality and feasibility of the model.

916         Despite the disadvantages of the ER approach, the major advantage of the use of  
917 ER approach in this paper is that it can synthesize the objective data and subjective  
918 judgements in the new model to generate the distributed assessments for the safety level  
919 of navigation environment and its contributing criteria and sub-criteria, while it  
920 considers the uncertainties existing in the evaluation due to knowledge deficit,  
921 inexperience, underconfidence, etc. The distributed assessments and utility values are  
922 used to prioritize the safety levels of vessel locations. In addition, the quantitative  
923 environmental data were collected from the Arctic navigation records of the general  
924 cargo vessel “Tian You”. The qualitative expert judgements were acquired from  
925 questionnaires distributed to domain experts. All of this first-hand material reflects the  
926 real safety environment of Arctic navigation. Besides, the environmental factors  
927 including hydrometeorology, channel, traffic regulation, and navigation infrastructure  
928 are systematically reviewed in this paper, which provides a panorama of the Arctic  
929 navigation environment. While the new model of this study is specifically for safety  
930 evaluation of the Arctic marine traffic, the principle and the process for developing this  
931 model is applicable to environmental evaluation of safety for similar marine traffic such  
932 as Antarctic marine traffic.

933         This study inevitably has limitations. In the first place, only a limited number of  
934 environmental sub-criteria of safety are involved in the model, which may not  
935 comprehensively profile the Arctic navigation environment. Further investigation based  
936 on domain knowledge will be carried out to include more associated environmental sub-  
937 criteria of safety in the model. Another issue is about the reliability of expert judgement.  
938 The questions in the questionnaire may not be explicit enough, which may lead to bias  
939 and misunderstanding. A higher level of questionnaire hence needs to be designed to  
940 further improve the evaluation results.

941

942 **Appendix. A. The evaluation results of all the environmental sub-criteria for the**  
943 **locations of ‘Tian You’ in Laptev and Kara Sea, and the relevant weights and**  
944 **utilities for the sensitivity analysis**

945

946 **Table A-I**

947 Evaluation results of all the environmental sub-criteria for the location of ‘Tian You’ in  
948 Laptev Sea

Criteria	Sub-criteria	Belief degrees for evaluation grades				
		Best	Good	Fair	Poor	Worst
Hydrometeorology	Wind and wave	0	0	1	0	0
	Visibility	0	0	1	0	0
	Sea ice concentration	1	0	0	0	0
	Sea ice thickness	1	0	0	0	0
Channel	Channel depth	0	0	0.54	0.46	0
	Channel width	0	0.54	0.46	0	0
Traffic regulation	International regulation	0.07	0.71	0.12	0	0
	Domestic regulation	0.02	0.53	0.36	0	0
Navigation infrastructure	Icebreaker	0	0	0.33	0.59	0
	Port facilities	0	0	0.25	0.43	0.26
	Navigation facilities	0	0	0.26	0.62	0.04
	Nautical charts	0	0.24	0.41	0.27	0
	Acquisition of ice and hydrometeorological information	0	0.16	0.53	0.21	0

949

950 **Table A-II**

951 Evaluation results of all the environmental sub-criteria for the location of ‘Tian You’ in  
952 Kara Sea

Criteria	Sub-criteria	Belief degrees for evaluation grades				
----------	--------------	--------------------------------------	--	--	--	--

		Best	Good	Fair	Poor	Worst
Hydrometeorology	Wind and wave	0	1	0	0	0
	Visibility	0	1	0	0	0
	Sea ice concentration	0	0.96	0.04	0	0
	Sea ice thickness	0	0	0	0.97	0.03
Channel	Channel depth	0.04	0.96	0	0	0
	Channel width	0	1	0	0	0
Traffic regulation	International regulation	0.07	0.71	0.12	0	0
	Domestic regulation	0.05	0.46	0.42	0	0
Navigation infrastructure	Icebreaker	0	0.38	0.54	0	0
	Port facilities	0	0.44	0.47	0	0
	Navigation facilities	0	0.35	0.56	0	0
	Nautical charts	0	0.10	0.41	0.42	0
	Acquisition of ice and hydrometeorological information	0	0.18	0.53	0.21	0

953

954 **Table A-III**

955 The relevant weights and utilities in the sensitivity analysis for the weight of  
956 'Hydrometeorology'

Weights		Average utilities				
Hydrometeorology	Channel	Traffic regulation	Navigation infrastructure	East Siberian Sea	Laptev Sea	Kara Sea
0.478	0.256	0.128	0.138	0.753	0.732	0.674
0.508	0.241	0.121	0.130	0.776	0.752	0.672
0.538	0.227	0.113	0.122	0.799	0.772	0.671
0.568	0.212	0.106	0.114	0.820	0.790	0.669
0.598	0.197	0.099	0.106	0.840	0.808	0.667
0.628	0.183	0.091	0.098	0.859	0.825	0.665

0.658	0.168	0.084	0.090	0.876	0.840	0.664
0.688	0.153	0.077	0.083	0.892	0.854	0.662
0.718	0.138	0.069	0.075	0.906	0.867	0.660
0.748	0.124	0.062	0.067	0.918	0.879	0.658
0.778	0.109	0.055	0.059	0.928	0.889	0.657
0.808	0.094	0.047	0.051	0.937	0.897	0.655
0.838	0.080	0.040	0.043	0.945	0.904	0.653
0.868	0.065	0.032	0.035	0.951	0.910	0.651
0.898	0.050	0.025	0.027	0.955	0.915	0.650
0.928	0.035	0.018	0.019	0.958	0.918	0.648
0.958	0.021	0.010	0.011	0.960	0.921	0.646
0.988	0.006	0.003	0.003	0.961	0.923	0.645

957

958 **Table A-IV**

959 The relevant weights and utilities in the sensitivity analysis for the weight of ‘Channel’

Weights		Average utilities				
Channel	Hydrometeorology	Traffic regulation	Navigation infrastructure	East Siberian Sea	Laptev Sea	Kara Sea
0.256	0.478	0.128	0.138	0.753	0.732	0.674
0.286	0.459	0.123	0.132	0.734	0.715	0.678
0.316	0.439	0.118	0.127	0.714	0.697	0.683
0.346	0.420	0.113	0.121	0.693	0.679	0.688
0.376	0.401	0.107	0.116	0.672	0.660	0.693
0.406	0.382	0.102	0.110	0.650	0.642	0.698
0.436	0.362	0.097	0.105	0.629	0.623	0.703
0.466	0.343	0.092	0.099	0.607	0.605	0.708
0.496	0.324	0.087	0.094	0.586	0.587	0.713
0.526	0.304	0.082	0.088	0.565	0.569	0.718
0.556	0.285	0.076	0.082	0.545	0.553	0.722
0.586	0.266	0.071	0.077	0.526	0.537	0.727
0.616	0.247	0.066	0.071	0.508	0.523	0.731

0.646	0.227	0.061	0.066	0.491	0.509	0.734
0.676	0.208	0.056	0.060	0.476	0.497	0.738
0.706	0.189	0.051	0.055	0.463	0.486	0.741
0.736	0.170	0.045	0.049	0.450	0.477	0.744
0.766	0.150	0.040	0.043	0.440	0.469	0.746

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