

SUB-COMMITTEE ON FLAG STATE  
IMPLEMENTATION  
21st session  
Agenda item 18

FSI 21/18  
7 March 2013  
Original: ENGLISH

**REPORT TO THE MARITIME SAFETY COMMITTEE AND THE  
MARINE ENVIRONMENT PROTECTION COMMITTEE**

**Table of contents**

	<b>Page</b>
1 GENERAL	3
2 DECISIONS OF OTHER IMO BODIES	3
3 RESPONSIBILITIES OF GOVERNMENTS AND MEASURES TO ENCOURAGE FLAG STATE COMPLIANCE	4
4 MANDATORY REPORTS UNDER MARPOL	10
5 CASUALTY STATISTICS AND INVESTIGATIONS	13
6 HARMONIZATION OF PORT STATE CONTROL ACTIVITIES	17
7 PSC GUIDELINES ON SEAFARERS' HOURS OF REST AND PSC GUIDELINES IN RELATION TO THE MARITIME LABOUR CONVENTION, 2006	22
8 DEVELOPMENT OF GUIDELINES ON PORT STATE CONTROL UNDER THE 2004 BWM CONVENTION	23
9 COMPREHENSIVE ANALYSIS OF DIFFICULTIES ENCOUNTERED IN THE IMPLEMENTATION OF IMO INSTRUMENTS	25
10 REVIEW OF THE SURVEY GUIDELINES UNDER THE HSSC AND THE ANNEXES TO THE CODE FOR THE IMPLEMENTATION OF MANDATORY IMO INSTRUMENTS	26
11 CONSIDERATION OF IACS UNIFIED INTERPRETATIONS	32
12 MEASURES TO PROTECT THE SAFETY OF PERSONS RESCUED AT SEA	32

13	ILLEGAL, UNREGULATED AND UNREPORTED (IUU) FISHING AND RELATED MATTERS	33
14	REVIEW OF GENERAL CARGO SHIP SAFETY	35
15	WORK PROGRAMME AND AGENDA FOR THE NEXT SESSION OF THE SUB-COMMITTEE	36
16	ELECTION OF CHAIRMAN AND VICE-CHAIRMAN FOR 2014	37
17	ANY OTHER BUSINESS	37
18	ACTION REQUESTED OF THE COMMITTEES	39

### LIST OF ANNEXES

ANNEX 1	DRAFT FAL.2-MEPC.1-MSC.1 CIRCULAR ON LIST OF CERTIFICATES AND DOCUMENTS REQUIRED TO BE CARRIED ON BOARD SHIPS
ANNEX 2	DRAFT ASSEMBLY RESOLUTION ON NOTIFICATION AND CIRCULATION THROUGH GISIS
ANNEX 3	LESSONS LEARNED FOR PRESENTATION TO SEAFARERS
ANNEX 4	DRAFT ASSEMBLY RESOLUTION ON GUIDELINES TO ASSIST INVESTIGATORS IN THE IMPLEMENTATION OF THE CASUALTY INVESTIGATION CODE (RESOLUTION MSC.255(84))
ANNEX 5	DRAFT MSC-MEPC.3 CIRCULAR ON REVISED HARMONIZED REPORTING PROCEDURES – REPORTS REQUIRED UNDER SOLAS REGULATIONS I/21 AND A XI-1/6, AND MARPOL, ARTICLES 8 AND 12
ANNEX 6	DRAFT MSC CIRCULAR ON THE APPLICATION OF SOLAS REGULATIONS XII/3, XII/7 AND XII/11
ANNEX 7	DRAFT ASSEMBLY RESOLUTION ON AMENDMENTS TO THE SURVEY GUIDELINES UNDER THE HARMONIZED SYSTEM OF SURVEY AND CERTIFICATION (HSSC), 2011
ANNEX 8	DRAFT ASSEMBLY RESOLUTION ON 2013 NON-EXHAUSTIVE LIST OF OBLIGATIONS UNDER INSTRUMENTS RELEVANT TO THE IMO INSTRUMENTS IMPLEMENTATION CODE (III CODE)
ANNEX 9	DRAFT MSC-MEPC.5 CIRCULAR ON THE UNIFIED INTERPRETATION OF THE APPLICATION OF REGULATIONS GOVERNED BY THE BUILDING CONTRACT DATE, THE KEEL LAYING DATE AND THE DELIVERY DATE FOR THE REQUIREMENTS OF THE SOLAS AND MARPOL CONVENTIONS
ANNEX 10	DRAFT BIENNIAL AGENDA FOR THE 2014-2015 BIENNIUM
ANNEX 11	PROVISIONAL AGENDA FOR THE NEXT SESSION OF THE SUB-COMMITTEE
ANNEX 12	STATUS OF PLANNED OUTPUTS OF THE HIGH-LEVEL ACTION PLAN OF THE ORGANIZATION AND PRIORITIES FOR THE 21012-2013 BIENNIUM RELEVANT TO THE SUB-COMMITTEE
ANNEX 13	STATEMENTS BY DELEGATIONS

---

## 1 GENERAL

1.1 The Sub-Committee held its twenty-first session from 4 to 8 March 2013 under the chairmanship of Captain D. Hutchinson (Bahamas). The Vice-Chair, Mrs. J. Gascon (Canada), was also present.

1.2 The session was attended by delegations from Member States and observers from international organizations and non-governmental organizations in consultative status as listed in document FSI 21/INF.1.

### Opening address

1.3 The Secretary-General welcomed participants and delivered the opening address, the full text of which can be downloaded from the IMO website at the following link: <http://www.imo.org/MediaCentre/SecretaryGeneral/Secretary-GeneralsSpeechesToMeetings>

### Chairman's remarks

1.4 In responding, the Chairman thanked the Secretary-General for his words of guidance and encouragement and assured him that his advice and requests would be given every consideration in the deliberations of the Sub-Committee.

### Statements by delegations

1.5 The Sub-Committee noted the statement made by the delegation of Malta regarding the lifeboat accident involving the cruise ship **Thomson Majesty**, as set out in annex 13. The Spanish delegation also referred to the accident in terms of the cooperation between the two Administrations in the conduct of the investigation.

1.6 The Sub-Committee also noted the statement by the delegation of Liberia, as set out in annex 13, regarding the surge in piracy incidents and other violent acts against shipping and seafarers occurring in waters within the Gulf of Guinea, which were also referred to by the delegation of Nigeria with regard to the efforts being made by coastal States in the subregion to address this issue.

### Adoption of the agenda and related matters

1.7 The Sub-Committee adopted the agenda (FSI 21/1) and agreed to be guided in its work, in general, by the annotations contained in document FSI 21/1/1. The agenda, as adopted, together with the list of documents considered under each agenda item, is set out in document FSI 21/INF.24.

## 2 DECISIONS OF OTHER IMO BODIES

2.1 The Sub-Committee noted the decisions and comments pertaining to its work made by MSC 90, C 108, MSC 91, MEPC 63, MEPC 64, LEG 99, STW 43, NAV 58, DSC 17, C 109, FP 56 and BLG 17 as presented in documents FSI 21/2, FSI 21/2/1, FSI 21/2/2, FSI 21/2/3 and FSI 21/2/4, submitted by the Secretariat, and took them into account in its deliberations when dealing with relevant agenda items as the meetings concerned had taken place only four and two weeks ago, respectively.

2.2 The Sub-Committee also noted the relevant decisions of COMSAR 17 and SLF 55, which were reported orally by the Secretariat under the relevant agenda items as the meeting concerned had taken place only four and two weeks ago, respectively.

**Resolutions and circulars adopted or approved by the Committees**

2.3 The Sub-Committee noted that MEPC 63 and MSC 90 had approved the revised *Guidelines on the organization and method of work of the Maritime Safety Committee and the Marine Environment Protection Committee and their subsidiary bodies*, circulated as MSC-MEPC.1/Circ.4/Rev.2, and had urged all parties concerned to strictly adhere to the revised Committees' Guidelines.

2.4 The Sub-Committee also noted that MEPC 64 had adopted the *2012 Guidelines for the survey and certification of ships under the Hong Kong Convention* by resolution MEPC.222(64), and the *2012 Guidelines for the inspection of ships under the Hong Kong Convention* by resolution MEPC.223(64).

2.5 The Sub-Committee further noted that MEPC 64 had approved BWM.2/Circ.40 on issuance of Ballast Water Management Certificates prior to entry into force of the BWM Convention.

**3 RESPONSIBILITIES OF GOVERNMENTS AND MEASURES TO ENCOURAGE FLAG STATE COMPLIANCE****List of certificates and documents and meaning of "originals"**

3.1 The Sub-Committee recalled that, with regard to future revisions of the list of certificates and documents required to be carried on board ships, MSC 88 and MEPC 63 had agreed with the suggestion of FAL 36 that such revisions should be initiated by the MSC on a regular basis. In this regard, MEPC 64 and MSC 91 had instructed the Sub-Committee to initiate revisions to FAL.2/Circ.123-MEPC.1/Circ.769-MSC.1/Circ.1409, as may be necessary, and had endorsed the request to the Secretariat to prepare a note containing those requirements, which may result in the revision of the above-mentioned circular and/or amendment to appendix 12 of the *Procedures for port State control, 2011* (resolution A.1052(27)), as appropriate.

3.2 On the need to further clarify the meaning of "originals" with respect to certificates and documents to be carried on board ships, the Sub-Committee was advised that MEPC 64 and MSC 91 had endorsed its decision to provide further clarification of the meaning of "originals", taking into account the ongoing work of the FAL Committee on electronic access to certificates and documents, and any related work being undertaken within the Organization.

3.3 The Sub-Committee was further advised that FAL 38 will consider document FAL 38/5 (United States) containing the Report of the Correspondence Group on electronic access to, or electronic versions of, certificates and documents required to be carried on board ships. Annex 2 of the report contained an annotated list of certificates required to be carried on board ships and indicating whether the source document requires original certificates and documents.

3.4 In the context of the above, the Sub-Committee considered the following documents:

- .1 FSI 21/3/3 (Secretariat), proposing a list of potential additions and draft amendments to the annex to FAL.2/Circ.123-MEPC.1/Circ.769-MSC.1/Circ.1409. In addition to the proposed list, it was suggested to add the Safety Compliance Certificate for Passenger Submersible Craft to the list, with reference to MSC/Circ.981 on *Guidelines for the design, construction and operation of passenger submersible craft*, as amended by MSC.1/Circ.1125; and

- .2 FSI 21/3/7 (Liberia), proposing amendments to FAL.2/Circ.123-MEPC.1/Circ.769-MSC.1/Circ.1409 for clarification of the term "original", based on the view that certificates issued in accordance with IMO conventions and other instruments should be accepted, regardless of the method by which signatures and seals are applied on the certificates, provided the method is authorized by the Administration and the person authorized to sign on behalf of the Administration has authorized the use of his/her signature in this manner.

3.5 Having recognized the need to address properly the risks of forgery and the potential use of electronic means for establishing the validity of certificates, the Sub-Committee referred documents FSI 21/3/3 and FSI 21/3/7, together with MSC/Circ.981, as amended, to the Working Group on the Review of the Survey Guidelines under Harmonized System of Survey and Certification (HSSC) and the annex to the Code for the implementation of IMO mandatory instruments, to be established under item 10, for finalization of the draft amendments to FAL.2/Circ.123-MEPC.1/Circ.769-MSC.1/Circ.1409, including detailed consideration of the proposals contained in document FSI 21/3/7, with a view to approval by FAL 38, MEPC 65 and MSC 92, and the development of recommendations, in particular, on the issue of "originals", to be reported to the three Committees.

3.6 Having received the report of the above-mentioned working group (FSI 21/WP.5), the Sub-Committee agreed to the draft amendments to FAL.2/Circ.123-MEPC.1/Circ.769-MSC.1/Circ.1409, as set out in annex 1 to document FSI 21/WP.5, and requested the Secretariat to prepare the full text of the draft FAL.2-MEPC.1-MSC.1 circular on list of certificates and documents required to be carried on board ships, as set out in annex 1, with a view to approval by FAL 38, MEPC 65 and MSC 92. The Sub-Committee authorized the Secretariat, when preparing the text of the consolidated FAL-MEPC-MSC circular on list of certificates and documents required to be carried on board ships, as appropriate, to effect any editorial corrections that may be identified.

3.7 On the issue of "originals", the Sub-Committee recommended to FAL 38, subject to endorsement by MEPC 65 and MSC 92, that certificates carried on board have to be valid and drawn up in the form corresponding to the model where required by the relevant international convention, and that a certificate may also be considered as "original" or "authentic" while containing an "authorized" electronically applied signature or stamp.

### **Status of the 1982 United Nations Convention on the Law of the Sea (UNCLOS)**

3.8 The Sub-Committee noted the updated information on the IMO Membership and Signatories or Parties to the United Nations Convention on the Law of the Sea (UNCLOS) and/or to the Agreement relating to the implementation of part XI of UNCLOS, as contained in document FSI 21/3 (Secretariat), and that more detailed information can be found on the website of the Division for Ocean Affairs and the Law of the Sea (DOALOS) (<http://www.un.org/depts/los>). The Secretariat was requested to continue providing updated information at each session of the Sub-Committee.

### **Report on the tonnage assessment**

3.9 The Sub-Committee noted that Circular letter No.3347 of 18 February 2013 provides the latest procedures for flag Administrations to verify their updated fleet tonnage figures that are used by the Secretariat in the Member States annual assessment, and which are obtained from IHS-Fairplay as managers of the IMO number schemes.

3.10 In this context, the Sub-Committee noted, with appreciation, information provided by IHS-Fairplay on fleet tonnage assessment, who had indicated that, at the beginning of July 2012, fleet data was circulated to 163 Administrations, out of which 81 Administrations had provided IHS-F with feedback. Such a rate was nearly double the amount of responses compared to 2011 and resulted in a material improvement in the fleet tonnage data provided to IMO.

**List of codes, recommendations, guidelines and other safety- and security-related non-mandatory instruments (MSC.1/Circ.1371)**

3.11 The Sub-Committee recalled that MSC 87, while approving MSC.1/Circ.1371 on the List of codes, recommendations, guidelines and other safety- and security-related non-mandatory instruments, had agreed to the process for updating the list by the Secretariat, with the issuance of further annual circulars, only listing the amendments to the list, and had instructed the sub-committees to review specific extracts of the list, as prepared by the Secretariat, every four years, for subsequent approval of a revised consolidated list by the Committee. MSC.1/Circ.1371/Add.1 and Add.2 were subsequently issued by the Secretariat in 2011 and 2012, respectively.

3.12 The Sub-Committee was advised that MSC 91, having endorsed the request of STW 43, instructed the Sub-Committee to consider document STW 43/10/5 (Austria et al.), in conjunction with its work on matters related to the List of codes, recommendations, guidelines and other safety- and security-related non-mandatory instruments.

3.13 In this context, the Sub-Committee noted the information provided by the Secretariat on the forthcoming release of a Global Integrated Shipping Information System (GISIS) module containing information on the 950 non-mandatory instruments, which have been included so far in MSC.1/Circ.1371 and its addenda 1 and 2. The module will allow the uploading of national legislation for the implementation of non-mandatory instruments adopted by means of Assembly or Committee resolutions. The Secretariat indicated that references to "upcoming rules" and "categorization according to ship types" were not intended to be added at this stage, since they might be more relevant to mandatory provisions, but that additional fields could be inserted in the future if the need arises.

3.14 With regard to the provision of further GISIS facilities covering mandatory requirements, which address the various requests compiled so far in relation to MSC/Circ.815 on list of IMO safety-related requirements and recommendations applicable to all ships and certain types of ship the Sub-Committee requested the Secretariat to prepare a proposed course of action, addressing all aspects, such as resource and expertise requirements, to be considered at a future session. In doing so, the Secretariat should take into account any relevant ongoing GISIS development and the work of the Ad Hoc Steering Group for reducing administrative requirements (SG-RAR) established by the Council.

**Reporting requirements in IMO instruments**

3.15 The Sub-Committee recalled that FSI 20 had requested the Secretariat to provide FSI 21 with the details of a plan to further develop GISIS reporting modules, with priority given to those reporting requirements and relevant information as indicated in document FSI 20/INF.14 (Secretariat), in the first stage, including resource requirements for developing and maintaining a monitoring facility for Member States, preferably through GISIS, in order to enhance the exhaustiveness, timeliness, accessibility and accuracy of Contracting Governments' notifications and reporting.

3.16 The Sub-Committee was advised that MEPC 64 and MSC 91 had endorsed the Sub-Committee's decision to consider, at this session, a draft Assembly resolution on notification and circulation through GISIS of information related to mandatory reporting requirements. MEPC 64 and MSC 91, having noted that there are cases where the frequency of reporting and details of how to communicate domestic legislation, including the language, are not always clearly specified in the mandatory instruments, endorsed the Sub-Committee's invitation to interested Member States to submit their proposals on draft guidelines on communication of information under IMO instruments to a future session, in particular, on domestic legislation, including the frequency of such reporting and the language in which information should be provided.

3.17 The Sub-Committee was further advised that MEPC 64 and MSC 91 had instructed the Sub-Committee to examine in detail the difficulties encountered by Member States in complying with the various mandatory reporting requirements, while taking into account the establishment of the Ad Hoc Steering Group for Reducing Administrative Requirements (SG-RAR), with a view to avoiding any duplication of work.

3.18 In this context, the Sub-Committee considered the following documents:

- .1 FSI 21/3/6 (Democratic People's Republic of Korea), providing recommendations on draft guidelines on communication of information required by mandatory IMO instruments; and
- .2 FSI 21/3/1 and Corr.1 (Secretariat), containing a draft Assembly resolution as proposed in document FSI 20/3/1 and a draft plan to further develop the reporting modules of GISIS.

3.19 The Sub-Committee noted the forthcoming release by the Secretariat of a GISIS interface between the listing of reporting requirements, as shown in documents FSI 20/INF.14 and FSI 21/3/1 and Corr.1, and existing GISIS modules, which can be used by Member States in order to fulfil some reporting requirements.

3.20 The Sub-Committee also noted the information orally provided by the Secretariat on the status of the work of SG-RAR, with a view to ensuring that work is not duplicated and that the Sub-Committee and the group remain fully aware of ongoing developments.

3.21 With respect to the drafting of guidelines on communication of information under IMO instruments, the Sub-Committee reiterated its previous invitation to interested Member States to submit their proposal to a future session, bearing in mind that the final contents of the guidelines might depend on the outcome of SG-RAR.

3.22 The Sub-Committee agreed to the text of the draft Assembly resolution on notification and circulation through GISIS, as set out in annex 2, for submission to MEPC 65 and MSC 92 for approval, prior to submission to the Assembly at its twenty-eighth session (A 28) for adoption.

3.23 With regard to the development of various GISIS modules for enhanced user-friendliness, the Sub-Committee, having considered suggestions made and specific issues raised by the delegation of the Netherlands, requested the Secretariat to work on the following areas for improvement:

- .1 the naming of GISIS modules in the access pages and the web account management interface should be consistent;

- .2 an online user manual should be further progressed;
- .3 the categorization of residues in the module on port reception facilities should be developed further;
- .4 the module on recognized organizations (ROs) should be cleared of non-authorized ROs. In this regard, interested parties were invited to make relevant submissions for the revision of the RO data collection mechanism (MSC/Circ.1010 – MEPC/Circ.382);
- .5 the module on contact points should be more regularly updated by Members, taking account the planned development of a monitoring dashboard, and should include information on flag State contact points for continuous synopsis records and PSC services;
- .6 the data collected in the PSC module should be used for analysis and the fulfilment of mandatory reporting requirements in compliance with relevant data exchange agreements;
- .7 the Secretariat should further liaise with the International Labour Organization (ILO) in order to identify which Organization or mechanisms would be best placed for collecting information on Member States' contact points under the Maritime Labour Convention, 2006 (MLC 2006); and
- .8 the development of a new module containing information on national and regional regulations taking into account discussions and decisions in other IMO bodies.

### **Improvement of flag performance**

3.24 The Sub-Committee recalled that, at its previous sessions, it had noted, with appreciation, the information provided by Member Governments on their national measures, progress made and achievements in improving flag State implementation, in particular on the Voluntary IMO Member State Audit Scheme (VIMSAS) and the reduction of port State control (PSC) detention rates.

3.25 In this context, the Sub-Committee considered the following documents:

- .1 FSI 21/3/2 (Paris MoU), providing information regarding the performance of flag States and recommending those flag Administrations that have significantly improved their performance to share their successful actions; the Secretary-General to call on those flag States with a recurrent position on the black list to enhance their performance; and the Technical Co-operation Committee to consider ways to assist those Member States with poor performance on the relevant PSC lists;
- .2 FSI 21/3/5 (Saint Kitts and Nevis), outlining measures adopted by the Administration of Saint Kitts and Nevis to strengthen the flag State control of ships flying the flag of Saint Kitts and Nevis, to prepare for VIMSAS and to implement the MLC 2006; and
- .3 FSI 21/INF.23 (ICS and ISF), containing information on the latest Shipping Industry Flag State Performance Table, 2012, accompanying the "Shipping Industry Guidelines on Flag State Performance".



3.26 The Sub-Committee expressed its appreciation to Saint Kitts and Nevis for the detailed information on its national measures and achievements and progress made on flag State implementation, as well as the delegation of Sierra Leone for the information provided on the measures taken to enhance flag State compliance, as set out in annex 15, and encouraged other Member States to share information on their national measures aimed at improving their performance, while reminding PSC officers to promptly inform the flag States of a detention, in accordance with the provisions of relevant Conventions.

3.27 Taking into consideration the improvements already made to the information contained in the Shipping Industry Flag State Performance Table (FSI 21/INF.23), based, in part, on the feedback received from Member States at previous sessions, the Sub-Committee noted the renewed concerns about the assessment of flag State performance based on PSC data in the cases of Member States with small fleets flying their flag which cannot qualify for PSC incentive schemes because of the limited number of inspections carried out, or Member States with large fleets flying their flag but with a small number of port calls in some areas covered by PSC regimes with an incentive scheme. Concerns were also raised regarding the assessment criteria related to the attendance at IMO meetings and the use of information related to the implementation of resolution A.739(18) on the *Guidelines for the authorization of organizations acting on behalf of the Administration* which would be contrary to the objective of its adoption. In order to provide an improved process for the compilation of the table, the Sub-Committee recommended that a feedback mechanism should further be used between the producers of the performance table and Member States.

### **Non-convention ships**

3.28 The Sub-Committee recalled that FSI 20 had given general support to the proposal that the development of the GlobalReg should lead to the preparation of a non-mandatory instrument, whilst also noting some concerns expressed about the complexity of such an undertaking in terms of types, sizes and variety of non-convention ships.

3.29 The Sub-Committee was advised that MSC 91, in considering the Sub-Committee's request to coordinate a detailed technical review of GlobalReg by all relevant sub-committees in order to develop a non-mandatory instrument on regulations for non-convention ships and to identify a process for keeping it up to date, recalled that the proposed work was already in the *High-level Action Plan for the biennium* (output 5.2.1.18), and that MEPC 64 decided that it was not appropriate for it to extend the scope of the planned output on the development of a non-mandatory instrument on regulations for non-convention ships and the GlobalReg.

3.30 The Sub-Committee was also advised that MSC 91 agreed that FSI 21 should develop a detailed strategy for the development of the non-mandatory instrument on safety standards for non-convention ships and a clearer identification of the envisaged output, which should initially be limited to common regulations and those that are specific to non-convention passenger ships, for consideration at MSC 92.

3.31 Pursuant to the above, the Sub-Committee considered document FSI 21/3/4 (France, Morocco and Vanuatu), proposing a method, a process, principles and a timetable for the technical review of the set of GlobalReg standards, covering non-convention ships for the preparation of a non-mandatory instrument focussing initially on non-convention passenger ships.

3.32 In the same context, the Sub-Committee noted document FSI 21/WP.3 (Secretariat), containing an overview of the latest version of GlobalReg, including its status and structure, particularly on Safety regulations for passenger ships of less than 24 metres in length, and identifying potential further work to develop Safety regulations for passenger ships of 24 metres and over in length to be carried out prior to the dissemination of GlobalReg to other relevant IMO bodies.

3.33 Following discussion, and on the basis of the support expressed by the majority of those delegations that spoke, whilst also recognizing some expressions of caution on the volume of work to be referred to other sub-committees, which should be kept as minimal as possible, the Sub-Committee recommended that MSC 92:

- .1 agree, in principle, with the proposed method, process, and principles for the technical review of the set of GlobalReg standards, as presented in document FSI 21/3/4 (France, Morocco and Vanuatu), for implementation after consideration of the full set of safety standards;
- .2 instruct the Sub-Committee to consider in detail the full set of safety standards at its next session, including the additional provisions to be developed for passenger ships of 24 metres and over in length, with a maximum length to be defined, and taking into account that GlobalReg should not introduce lower levels of safety and manning compared to current national or regional standards;
- .3 note that the timetable would have to be reviewed by the Sub-Committee, at its next session, for reporting to MSC 93, contingent on its decisions on this issue; and
- .4 consequently change the target completion year to 2017.

3.34 In considering its future work on this issue, the Sub-Committee noted that the review of matters related to ships engaged in inland waterways; fishing vessels; and cargo vessels of more than 12 metres in length, and of the process for the updating of the GlobalReg provisions should be considered at the end of the initial review process, as this would be paramount for the sustainability of an increased level of safety and safe manning for non-convention ships.

#### **4 MANDATORY REPORTS UNDER MARPOL**

4.1 The Sub-Committee recalled that MEPC/Circ.318, adopted by MEPC 38, contained Formats for a mandatory reporting system under MARPOL 73/78 to facilitate communication to the Organization of information called for by articles 8, 11 and 12, and by the regulations of Annexes I, II and V of MARPOL. Parties to MARPOL were requested to submit their annual reports in accordance with MEPC/Circ.318 by 30 September each year.

4.2 The Sub-Committee considered documents FSI 21/4 and Corr.1 (Secretariat) containing a summary on mandatory reports under MARPOL for the year 2011 submitted by 40 Parties to MARPOL and one Associate Member, in accordance with MEPC/Circ.318, and noted that:

- .1 nine incidents of spillages of 50 tonnes or more were reported. The substances spilled were various hydrocarbon oils ranging from crude to light oils;

- 
- .2 556 incidents of spillages of less than 50 tonnes were reported. The types of substance spilled were mostly hydrocarbon oils, with the exception of four Parties, of which the reports of three countries included other substances like synthetic drilling fluid, paint and dust, constituting between 33 per cent and 37 per cent of the total reported incidents by each Party, whilst the fourth Party's report included sewage and garbage representing 47 per cent and 21 per cent, respectively, of the total reported incidents;
  - .3 41 cases of alleged discharge violations were reported. The types of substance discharged were various hydrocarbon oils;
  - .4 according to the received reports, the total number of ships boarded in 2011 for PSC inspections was 62,274, while the total number of ships detained or denied entry in port for MARPOL violations was 1,258 or 2 per cent of those boarded; and
  - .5 938 ships were reported as having IOPP Certificate discrepancies, 2,895 ships were reported to have Oil Record Book discrepancies, and 2,025 ships were reported as having MARPOL equipment discrepancies.

4.3 The Sub-Committee also recalled that MEPC 58 had endorsed the decision of FSI 16 not to require Members to complete parts 3a and 3b of MEPC/Circ.318 starting from 2008, as the Secretariat would utilize data extracted from the module on port reception facilities of GISIS. Consequently, on the basis of data extracted from GISIS as provided under paragraph 8 of document FSI 21/4, the Sub-Committee noted the following summary report on alleged inadequacies of port reception facilities that arose in 2011:

- .1 five Parties submitted 15 reports on alleged inadequacies of reception facilities (Bahamas submitted seven; Greece and the United Kingdom submitted three each; France and Sweden each submitted one report, respectively);
- .2 as of 2 January 2013, the Secretariat has received eight responses from the following States on the outcome of their investigations into alleged inadequacies of reception facilities: Bahamas and the United Kingdom submitted one each and the United States submitted six, which represented all reported cases in 2011 of alleged inadequacies in ports of these three States;
- .3 due to an oversight by a flag State reporting on five cases of alleged inadequacies, the relevant port States were not notified in accordance with the procedures in MEPC.1/Circ.469/Rev.1. To alleviate such problems in future and to facilitate communications, flag States and port States are encouraged to provide their Contact Details in the Port Reception Facilities module of GISIS. So far, 51 Parties and two Associate Members have done so; and
- .4 14 reports were received and posted on GISIS, alleging the following 16 inadequacies: three alleged inadequacies related to requirements under Annex I (two relating to oily bilge, one relating to oil residue (sludge)) and 13 alleged inadequacies related to requirements under Annex V.

4.4 The Sub-Committee noted the following conclusions on the level of compliance with the provisions of MEPC/Circ.318:

- .1 40 mandatory reports under MARPOL were submitted for the year 2011, representing a reporting rate of 26.3 per cent, which is comparable to the rate in 2009 when there were fewer Parties to the Convention; and
- .2 six of the 40 mandatory reports submitted for the year 2011 were received after the deadline established by paragraph 5 of MEPC/Circ.318 (30 September each year).

4.5 The Sub-Committee urged all Parties to MARPOL to submit mandatory reports in accordance with MEPC/Circ.318, noting that the closing date for the receipt of mandatory reports for the year 2012 will be 30 September 2013. The Sub-Committee also requested the Secretariat to update the data and the list annexed to document FSI 21/4 and submit them to the next session of the Sub-Committee for consideration.

4.6 The Sub-Committee also urged all Parties to MARPOL to provide and/or update their respective Contact Details in the Port Reception Facilities module of GISIS to ensure notification of port States by flag States reporting on alleged inadequacies in accordance with the procedures in MEPC.1/Circ.469/Rev.1.

#### **Revision and update of MEPC circulars related to port reception facilities**

4.7 The Sub-Committee recalled that it had been instructed by MEPC 63 to review and update various MEPC circulars related to port reception facilities, as necessary, in light of the entry into force on 1 January 2013 of the revised MARPOL Annex V, and also with regard to the amendments to MARPOL Annexes I, II, IV, V and VI on regional arrangements for port reception facilities, which will enter into force on 1 August 2013.

4.8 The Sub-Committee noted the draft amendments to five MEPC circulars, as set out in annexes 1 to 5 to document FSI 21/4/1 and Corr.1 (relating to paragraphs 17 and 31 of annex 4 of document FSI 21/4/1), which were prepared by the Secretariat. The circulars under review were:

- |    |                       |  |
|----|-----------------------|--|
| .1 | MEPC/Circ.470         | Waste reception facility reporting requirements;   |
| .2 | MEPC.1/Circ.469/Rev.1 | Revised consolidated format for reporting alleged inadequacies of port reception facilities;       |
| .3 | MEPC.1/Circ.644       | Standard format for the advance notification form for waste delivery to port reception facilities; |
| .4 | MEPC.1/Circ.645       | Standard format for the waste delivery receipt; and  |
| .5 | MEPC.1/Circ.671       | Guide to good practice for port reception facility provider and users.                             |

4.9 In considering the draft amendments to the circulars (FSI 21/4/1 and Corr.1), the Sub-Committee also noted that they were merely consequential updates that had become necessary in light of amendments to MARPOL. The circulars contained in annexes 1 to 3 of document FSI 21/4/1 were particularly straightforward, as the revision only had to take account of the new garbage categories under the revised MARPOL Annex V, which entered

into force on 1 January 2013. As regards the update of the Guide to Good Practice for Port Reception Facility Providers and Users (MEPC.1/Circ.671), the designation of the Baltic Sea as a Special Area under MARPOL Annex IV (which entered into force on 1 January 2013) and the designation of new Emission Control Areas under MARPOL Annex VI had to be taken into account in addition to the alignment of definitions and references with the revised MARPOL Annex V.

4.10 In the ensuing discussion, ICS, supported by several delegations, expressed concerns on the inadequacy of port reception facilities for solid bulk cargo residues. The Sub-Committee noted the complexity of this particular aspect, which has been discussed by the DSC Sub-Committee, and the intention of ICS to bring this matter to the attention of the MSC and the MEPC.

4.11 In considering the proposal by the Bahamas to consolidate all the five MEPC circulars related to port reception facilities, the Sub-Committee agreed that such a proposal should be submitted to the MEPC for approval before initiating any work on this particular matter.

4.12 Having considered the amendments proposed in annexes 1 to 5 to documents FSI 21/4/1 and Corr.1, the Sub-Committee agreed to invite MEPC 65 to approve the amended circulars and to request the Secretariat to reissue them as a matter of urgency, with the exception of circular MEPC/Circ.470, which should only be reissued after the entry into force of the amendments on regional agreements under MARPOL on 1 August 2013.

## **5 CASUALTY STATISTICS AND INVESTIGATIONS**

### **GENERAL**

5.1 The Sub-Committee considered the report of the Correspondence Group on Casualty Analysis (FSI 21/5 and Add.1), having noted the casualty-related outcome of other IMO bodies as referenced in documents FSI 21/2, FSI 21/2/1 and FSI 21/2/2 (Secretariat).

5.2 The Sub-Committee also considered the following documents:

- .1 FSI 21/5/1 (Secretariat), containing the list of reports of investigation into casualties, which have been reviewed by the Correspondence Group on Casualty Analysis for this session of the Sub-Committee;
- .2 FSI 21/5/2 (Secretariat), commenting on the report of the Correspondence Group on Casualty Analysis on modifications to the GISIS Marine Casualties and Incidents module and to MSC-MEPC.3/Circ.3;
- .3 FSI 21/INF.8 (Secretariat), providing information on the access to the analyses made by the Correspondence Group on Casualty Analysis for this session of the Sub-Committee on IMODOCS; and
- .4 FSI 21/INF.21 (Republic of Korea), providing information on the First International Conference on the Safety Investigation into Marine Casualty.

### **ESTABLISHMENT OF THE WORKING GROUP ON CASUALTY ANALYSIS**

5.3 As agreed by FSI 20, the Sub-Committee established the Working Group on Casualty Analysis on the morning of the first day of its meeting with provisional terms of reference .1 to .7 below. In addition, and based on discussion of the documents submitted to

this session under this agenda item, the Sub-Committee further instructed the group to take into account comments and decisions made in plenary and included the following additional subparagraphs .8 to .12 in its terms of reference:

- .1 confirm or otherwise the findings of the correspondence group based on the analysis of individual casualty investigation reports and GISIS, for the Sub-Committee's approval and authorization of their release to the public on GISIS;
- .2 confirm or otherwise the draft text of Lessons Learned for Presentation to Seafarers, for the Sub-Committee's approval and authorization of release on the IMO website in accordance with the agreed procedure;
- .3 consider and advise which reports reviewed by the analysts and considered by the group should be referred to the relevant IMO bodies. In doing so, the group should submit supporting information derived from the casualty analysis procedure used to develop recommendations for consideration by the Committees and Sub-Committees;
- .4 consider and advise on the revision and updating of the Guidelines for the investigation of human factors in marine casualties and incidents (annex to resolution A.884(21)) and the Guidelines to assist investigators in the implementation of the Code (appendix of the annex to resolution A.849(20));
- .5 consider and advise on the revision and update of MSC-MEPC.3/Circ.3, taking into account the Code of the international standards and recommended practices for a safety investigation into a marine casualty or marine incident (Casualty Investigation Code) and Formal Safety Assessment (FSA) inputs as well as outputs from MEPC 64 and relevant IMO bodies during the draft review of MSC-MEPC.3/Circ.3, and aspects in relation to data transfers between the European Marine Casualty Information Platform (EMCIP) and GISIS;
- .6 consider and advise on the possibility of incorporating into the revised and updated version of MSC-MEPC.3/Circ.3 the information required in accordance with MSC/Circ.539/Add.2 and MSC/Circ.802-MEPC/Circ.332;
- .7 consider all available data on accident reports on ro-ro ferry vehicle deck fires and provide recommendations on actions to be taken;
- .8 consider and advise on the casualty-related decisions of other IMO bodies (FSI 21/2, FSI 21/2/1 and FSI 21/2/2);
- .9 consider the information contained in documents FSI 21/5/1, FSI 21/5/2, FSI 21/INF.8 and FSI 21/INF.21, and advise on the necessary actions to be taken;
- .10 to prioritize finalization of the text of the draft Guidelines to assist investigators in the implementation of the Casualty Investigation Code adopted by resolution MSC.255(84) for consideration by the Sub-Committee with a view to submission to MEPC 65 and MSC 92 for approval, prior to submission to A 28 for adoption;

- .11 finalize, if time allows, the text of a draft MSC-MEPC.3/Circular, Revised harmonized reporting procedures – Reports required under SOLAS regulation I/21 and MARPOL, Articles 8 and 12, to supersede MSC-MEPC.3/Circ.3; and
- .12 advise on the re-establishment of the Correspondence Group on Casualty Analysis and, if so, prepare draft terms of reference for that group.

## REPORT OF THE WORKING GROUP ON CASUALTY ANALYSIS

5.4 Having approved the report of the working group (FSI 21/WP.4/Rev.1), in general, the Sub-Committee took the decisions as reflected in the following paragraphs.

### Investigation reports

5.5 The Sub-Committee invited Administrations to take account of the issues on the quality of investigation reports identified by the analysts, as detailed in paragraph 6 of document FSI 21/5, with the objective of improving future investigation reports, and to fill necessary annexes when uploading marine safety investigation reports into GISIS, in accordance with MSC-MEPC.3/Circ.3.

### Casualty analyses

5.6 Having approved the changes to the analyses of the marine casualty investigation reports on the **Costa Concordia** (GISIS incident C0008440) and the **Deepwater Horizon**, (GISIS incident C0007726), the Sub-Committee requested the Secretariat to release the text of the casualty analyses to the public on the GISIS Marine Casualties and Incidents module.

### Lessons Learned for Presentation to Seafarers

5.7 Having approved the text of the Lessons Learned for Presentation to Seafarers, as set out in annex 3, for release on the IMO website, in accordance with the agreed procedure (FSI 11/23, paragraph 4.19), and with additional potential data sorted per type of incident and session of approval to be developed by the Secretariat, the Sub-Committee invited flag Administrations to continue disseminating the Lessons Learned among their fleets and seafarers.

### Forwarding to other sub-committees

5.8 Subject to endorsement by MSC 92, the Sub-Committee agreed to forward the reports on the incidents of the **Commodore Clipper** (GISIS incident C0008451) to the FP, DE and SLF Sub-Committees; **Lisco Gloria** (GISIS incident C0008391) and **Pearl of Scandinavia** (GISIS incident C0008286) to the FP and DE Sub-Committees; **CMA CGM Christophe Colomb** (GISIS incident C0008272-R01) to the DE Sub-Committee; **Deepwater Horizon** to the DE, FP, SLF and STW Sub-Committees; as well as their analysis and comments made by the correspondence group (FSI 21/5), for their consideration and action as appropriate.

### Guidelines to assist investigators in the implementation of the Casualty Investigation Code

5.9 The Sub-Committee agreed to the text of the draft Assembly resolution on *Guidelines to assist investigators in the implementation of the Casualty Investigation Code* (resolution MSC.255(84)), as set out in annex 4, to revoke resolutions A.849(20) and A.884(21), for consideration by MEPC 65 and MSC 92 for approval, prior to submission to A 28 for adoption.

## Revised harmonized reporting procedures

5.10 While agreeing to the text of the draft MSC-MEPC.3 circular on Revised harmonized reporting procedures – Reports required under SOLAS regulations I/21 and a XI-1/6, and MARPOL, Articles 8 and 12 to supersede MSC-MEPC.3/Circ.3, as set out in annex 5, to be submitted to MEPC 65 and MSC 92 for approval, the Sub-Committee also agreed to the proposed taxonomy therein, having requested the Secretariat to circulate it to other relevant sub-committees for information and action, as deemed appropriate, and to commence upgrading the GISIS Marine Casualties and Incidents module accordingly.

## Future review

5.11 The Sub-Committee agreed that MSC/Circ.539/Add.2 on reports of casualty statistics concerning fishing vessels and fishermen at sea and MSC/Circ.802-MEPC/Circ.332 on provision of preliminary information on serious and very serious casualties by rescue coordination centres, be reviewed and amended, in future, in accordance with the revised circular MSC-MEPC.3.

## Correspondence Group on Casualty Analysis

5.12 The Sub-Committee, taking into account the work completed at this session, established the Correspondence Group on Casualty Analysis, under the coordination of the United Kingdom<sup>1</sup>, to continue its work intersessionally under the following terms of reference:

- .1 based on the information received from Administrations on marine safety investigations into marine casualties, conduct a review of the relevant marine safety investigation reports referred to the group by the Secretariat and prepare draft Lessons Learned for Presentation to Seafarers;
- .2 identify safety issues that need further consideration;
- .3 based on documents FSI 21/5/Add1 (annex 5), and FSI 21/WP.4, to continue towards the completion of the revision of the aide-memoire as an in-the-field job aid for investigators; and
- .4 submit a report to the next session of the Sub-Committee.

## Working Group on Casualty Analysis

5.13 The Sub-Committee agreed that the Working Group on Casualty Analysis, if re-established, should start work on the morning of the first day of the FSI 22 meeting, in accordance with MSC-MEPC.1/Circ.4/Rev.2 on *Guidelines on the organization and method of work of the Maritime Safety Committee and the Marine Environment Protection Committee and their subsidiary bodies*, under the following provisional terms of reference, subject to further instructions to be received from plenary:

- .1 confirm or otherwise the findings of the correspondence group based on the analysis of individual casualty investigation reports and GISIS, for the Sub-Committee's approval and authorization of their release to the public on GISIS;

---

<sup>1</sup> **Coordinator:**  
 Capt. David Wheal  
 Marine Accident Investigation Branch  
 United Kingdom  
 Email: david.wheal@dft.gsi.gov.uk

<sup>2</sup> Mr. Chris Wiley  
 Email: david.wheal@dft.gsi.gov.uk



- .2 confirm or otherwise the draft text of Lessons Learned for Presentation to Seafarers, for the Sub-Committee's approval and authorization of release on the IMO website in accordance with the agreed procedure;
- .3 consider and advise whether those reports reviewed by the analysts and considered by the working group and which are of interest to them should be referred to the relevant committees and sub-committees. In doing so, the working group should submit supporting information derived from the casualty analysis procedure used to develop recommendations for consideration by the Committees and Sub-Committees; and
- .4 consider and advise on the draft of the revision of the aide-memoire, when available, as an in-the-field job aid for investigators.

### **Reminder for submission of casualty-related data**

5.14 The Sub-Committee reminded Member States to:

- .1 develop further the systematic investigation method and investigation report structure in accordance with paragraph 2.12 and chapter 14 of the Casualty Investigation Code, adopted by resolution MSC.255(84);
- .2 ensure that information on reports on marine casualties and incidents is provided to the Secretariat in accordance with the reporting requirements, bearing in mind that information can be directly reported by Member States into the GISIS Marine Casualties and Incidents module, which includes the facility to attach the electronic version of full investigation reports; and
- .3 continue updating directly the respective information in order to ensure the accuracy of the information available in the Contact Point module of GISIS, in accordance with MSC-MEPC.6/Circ.11.

## **6 HARMONIZATION OF PORT STATE CONTROL ACTIVITIES**

6.1 The Sub-Committee considered the various submissions under this agenda item in the following order:

- .1 concentrated inspection campaigns;
- .2 analyses of PSC activities, practices and statistics;
- .3 performance of flag Administrations and recognized organizations;
- .4 guidelines and procedures for PSC officers (PSCOs); and
- .5 transparency and harmonization of PSC information.

### **CONCENTRATED INSPECTION CAMPAIGNS (CICs)**

6.2 In noting that FSI 19 had agreed that, at future sessions, the outcome of concentrated inspection campaigns (CICs) would be best reviewed by a working/drafting group, which would be tasked to prepare appropriate material for referral to relevant Sub-Committees, the Sub-Committee considered the following documents relating to this subject:

- .1 FSI 21/INF.3 (Black Sea (BS) MoU) on CIC on structural safety and load lines;
- .2 FSI 21/INF.5 (BS MoU) on CIC on harmful substances;
- .3 FSI 21/INF.11 (Paris and Tokyo MoUs) on results of the 2011 Tokyo and Paris MoUs, CICs on structural safety and the International Convention on Load Lines;
- .4 FSI 21/INF.18 (Viña del Mar Agreement) on reports on 2011-2012 CICs; and
- .5 FSI 21/INF.20 (Indian Ocean (IO) MoU) on results of the 2011 IO MoU CIC on structural safety and the International Convention on Load Lines.

6.3 Having been informed that, based on the information collected through the CICs reported upon, the submitting PSC regimes did not expect further action to be taken at this stage, the Sub-Committee noted the information provided.

6.4 The Sub-Committee invited PSC regimes to continue providing information on the outcome of their CICs conducted, preferably, in cooperation with other MoUs, in the agreed reporting format, as set out in annex 4 to document FSI 20/WP.5, together with recommendations and supporting material, which could be referred to relevant IMO bodies for further consideration.

#### **ANALYSIS OF PSC ACTIVITIES, PRACTICES AND STATISTICS**

6.5 With respect to the analysis of PSC activities, practices and statistics, the Sub-Committee considered the following documents on the activities of PSC regimes:

- .1 FSI 21/6 (Secretariat) on progress report on regional PSC regimes;
- .2 FSI 21/6/3 (Black Sea (BS) MoU) on recent developments and activities on PSC in the BS MoU region;
- .3 FSI 21/6/5 (Viña del Mar Agreement) on progress in the 2011-2012 biennium;
- .4 FSI 21/6/6 (Mediterranean (Med) MoU) on summary of the Med MoU activities;
- .5 FSI 21/6/7 (IO) MoU) on IO MoU PSC activities;
- .6 FSI 21/INF.2 (BS MoU) on analysis of 2011 BS MoU statistics;
- .7 FSI 21/INF.4 (BS MoU) on BS MoU Annual Report 2011;
- .8 FSI 21/INF.6 (Tokyo MoU) on summary of Tokyo MoU activities in 2012;
- .9 FSI 21/INF.7 (Tokyo MoU) on Tokyo MoU Annual Report 2011;
- .10 FSI 21/INF.12 (Tokyo MoU) on Tokyo MoU PSC data for 2011;
- .11 FSI 21/INF.10 (Paris MoU) on Paris MoU Annual Report 2011;

- .12 FSI 21/INF.15 (United States) on United States Coast Guard 2012 port State control report;
- .13 FSI 21/INF.16 (Caribbean MoU) on summary of Caribbean MoU activities and inspections;
- .14 FSI 21/INF.17 (Med MoU) on Med MoU Annual Report 2011; and
- .15 FSI 21/INF.19 (Viña del Mar Agreement) on Viña del Mar Agreement Annual Report 2011.

6.6 The Sub-Committee was informed that the PSC regimes carried out a total of 88,732 inspections in 2011 of which 53.8 per cent had recorded deficiencies. A total of 3,785 ships were detained, giving an overall detention rate of 4.26 per cent during that period. In this context, the Sub-Committee noted the view that further investigation of the differences in detention rates between PSC regimes, and the potential impact on statistics of the number of inspections carried out by members belonging to more than one PSC regime, should be undertaken.

6.7 The Sub-Committee was also informed that, while there are 10 PSC regimes at present, the Regional Organization for the Conservation of the Environment of the Red Sea and Gulf of Aden (PERSGA) is expecting to launch a new PSC MoU, which has been signed by four PERSGA member Authorities, i.e. Djibouti, Egypt, Jordan and Sudan, and that other member Authorities are in the process of signing the MoU according to their respective legislative processes.

6.8 The representatives of other PSC regimes that did not submit a document to this session provided relevant information on recent developments. In this regard, it was noted that the 2011 Annual Report of the Riyadh MoU and a summary of the Abuja MoU's activities for 2012 had been distributed to delegations attending this session.

6.9 The Sub-Committee, having taken note of the tables and figures in the document of FSI 21/INF.2 (BS MoU), invited the regional PSC regimes and the United States to continue submitting their annual reports to the Sub-Committee regarding the statistics of the year of reference contained therein, except when the schedule of the session of the Sub-Committee does not allow such a submission to be made in time. PSC regimes were also invited to use the agreed format as set out in annex 3 of document FSI 20/WP.5 for the presentation of their annual reports, and requested the Secretariat to continue providing the Sub-Committee with a progress report on regional PSC agreements.

### **IMO Workshop for PSC MoU/Agreement Secretaries and Database Managers**

6.10 The Sub-Committee noted that the Secretariat would issue a circular letter of invitation to the sixth IMO Workshop for PSC MoU/Agreement Secretaries and Database Managers, which is scheduled to take place from 2 to 4 July 2013, with the draft agenda as contained in the annex to document FSI 20/6/3 (BS MoU).

### **PERFORMANCE OF FLAG ADMINISTRATIONS AND RECOGNIZED ORGANIZATIONS (ROs)**

6.11 The Sub-Committee considered the following documents, which provided information on the performance of flag Administrations relative to PSC inspections:

- .1 FSI 21/6/4 and Corr.1 (Paris and Tokyo MoUs) on performance of flag Administration and ROs;

- .2 FSI 21/6/8 and Corr.1 (Saint Kitts and Nevis) on performance of flag Administrations and ROs; and
- .3 FSI 21/INF.9 (Paris and Tokyo MoUs and the United States) on flag Administrations targeted by the Paris and Tokyo MoUs and the United States.

6.12 The Sub-Committee, taking into account the proposal contained in documents FSI 21/6/4 and Corr.1 (Paris and Tokyo MoUs), invited other PSC regimes to consider providing similar information in order to assist flag Administrations in selecting well performing recognized organizations (ROs) and recommended that flag Administrations use the information provided in the documents when authorizing ROs to act on their behalf.

6.13 The Sub-Committee considered the issue raised in documents FSI 21/6/8 and Corr.1 (Saint Kitts and Nevis). In this context, the Sub-Committee noted the willingness, efforts and best practices of PSC regimes to improve the accuracy of data and appreciated the existing mechanisms being used by PSC regimes to that effect and their inherent limitations.

6.14 While urging individual port States to implement data verification process, as far as practicable, in particular, regarding data with a negative connotation for a flag Administration, the Sub-Committee encouraged flag States and port States to maintain accurate lists of contact points in order to facilitate the communication process, which could help to enhance the quality of data released, and the Secretariats of PSC regimes to assist such a process, as much as possible.

6.15 Furthermore, the Sub-Committee requested the Secretariat to continue developing the GISIS PSC module to make it easier for Member States to access PSC data and to report flag State comments through a single window.

6.16 The Sub-Committee noted the information contained in document FSI 21/INF.9 (Paris and Tokyo MoUs and the United States) on flag Administrations targeted by the United States Coast Guard and the Paris and Tokyo MoUs. It also noted the reported reduction in the number of ROs with lower performance, as compared to last year's figures.

## **PROCEDURES FOR PORT STATE CONTROL (PSC)**

### **GUIDELINES FOR INSPECTION OF SHIPS UNDER THE HONG KONG CONVENTION**

6.17 The Sub-Committee was advised that MEPC 63 had instructed the intersessional Correspondence Group on Ship Recycling Guidelines to develop further the draft text of the Guidelines for Inspection of Ships under the Hong Kong Convention for consideration and decision by MEPC 64, as appropriate, prior to forwarding them to FSI 21 for comments from a PSC point of view.

6.18 The Sub-Committee was also advised that MEPC 64 had adopted the *2012 Guidelines for the survey and certification of ships under the Hong Kong Convention* by resolution MEPC.222(64), and the *2012 Guidelines for the inspection of ships under the Hong Kong Convention* by resolution MEPC.223(64), as all outstanding issues had been resolved at that session.

6.19 The Sub-Committee agreed that comments on the guidelines were not necessary at this stage pending the entry into force of the Hong Kong Convention. Subsequent to that, the Sub-Committee would be in a position to review draft guidelines for the purpose of

updating the Assembly resolutions on Survey Guidelines under the HSSC and on Procedures for PSC.

#### **CONSEQUENTIAL AMENDMENTS TO THE PROCEDURES FOR PORT STATE CONTROL**

6.20 The Sub-Committee noted that BLG 17 had agreed to the draft amendments to the International Code for the Construction and Equipment of Ships Carrying Liquefied Gases in Bulk (IGC Code), as set out in annex 11 to document BLG 17/18, for submission to MSC 92 for approval with a view to subsequent adoption. Furthermore, BLG 17 had requested the Secretariat to inform the Sub-Committee that consequential amendments may be necessary to resolution A.1052(27) on PSC procedures, which refers to the current IGC Code, in particular, section 1.5, which is to be renumbered as section 1.4 in the revised IGC Code.

6.21 The Sub-Committee agreed to revisit the matter at a future session in the context of the revision of the Procedures for port State control, 2011, as appropriate.

#### **GUIDELINES FOR PORT STATE CONTROL OFFICERS ON THE ISM CODE**

6.22 The Sub-Committee recalled that the Assembly, at its twenty-seventh session, had adopted resolution A.1052(27) on *Procedures for port State control, 2011*, which included *Guidelines for port State control related to the ISM Code* in its appendix 8, and that FSI 20 had agreed to conduct a more detailed technical review of the guidelines for PSCOs related to the *International Safety Management (ISM) Code* by administrations, as set out in annex 1 to document FSI 20/WP.5, other than editorial amendments, at a future session.

6.23 In view of the fact that a working group on PSC matters could not be established at this session, the Sub-Committee deferred further consideration of the detailed technical review of the draft guidelines for PSCOs related to the ISM Code to the next session of the Sub-Committee, provided that a dedicated working group would be established to deal with PSC-related matters at that session.

#### **TRANSPARENCY AND HARMONIZATION OF PSC INFORMATION**

##### **Equasis information system**

6.24 In the context of its consideration of document FSI 21/6/1 (Secretariat) on the Equasis Information System, containing the relevant outcome of the 21st meeting of the Editorial Board and the 25th and 26th meetings of the Supervisory Committee, the Sub-Committee noted the following elements:

- .1 there had been no change in the criteria for a PSC regime to become a data provider since FSI 20, but Equasis decided to categorize the data provided by PSC regimes in three different steps, as set out in the annex to document FSI 21/6/1, in order to harmonize the data for a better and quicker analysis by Equasis users;
- .2 10 categorized groups including five PSC regimes are providing data to Equasis;
- .3 Equasis now provides a dedicated website to be used on mobile devices with smaller screens (<http://mobile.equasis.org>). In addition, applications are being developed for iPhones- and Android-based smartphones and tablets; and
- .4 annual statistics of Equasis for the year 2011 have been published and are available on the Equasis website ([www.equasis.org](http://www.equasis.org)).

**PROVISION OF A DECISION SUPPORT TOOL FOR PSCOs OF THE MEDITERRANEAN MOU**

6.25 The Sub-Committee considered document FSI 21/6/2 (Secretariat) on the provision of a decision-support tool for Port State Control Officers (PSCOs) of the Mediterranean MoU to other PSC regimes and its continuous updating. In this context, the Sub-Committee noted the consensus among PSC regimes that the provision and updating of a unified decision-support tool across regimes would support the global harmonization and consistency of PSC activities.

6.26 Having noted that a decision-support tool has certain elements that are specific to a particular regime and as such a unified tool would still need to be customized for each individual PSC regime, the Sub-Committee invited Member States and observers to provide it, at a future session, with relevant elements for a comprehensive package, addressing both technical and financial aspects of the decision-support tool for all PSC regimes, including the updating process. The Sub-Committee also suggested that the sixth IMO Workshop for PSC MoU/Agreement Secretaries and Database Managers might be a good opportunity to discuss further the needs of PSC regimes in this regard.

**PSC data exchange protocols**

6.27 The Sub-Committee noted that, in addition to eight regional PSC regimes, i.e. the Indian Ocean, Mediterranean, Tokyo, Riyadh, Abuja, Caribbean and Paris MoUs and the Viña del Mar Agreement that had already signed data exchange agreements with IMO, the Black Sea MoU also signed a data exchange agreement with IMO on the first day of the session, thereby completing the agreements to achieve full coverage in GISIS of PSC data on detentions (nine regional PSC regimes) and partial coverage of data on all PSC inspections (seven regional PSC regimes).

**7 PSC GUIDELINES ON SEAFARERS' HOURS OF REST AND PSC GUIDELINES IN RELATION TO THE MARITIME LABOUR CONVENTION, 2006**

7.1 The Sub-Committee, having recalled that MSC 85 had endorsed the views of STW 39 that it would not be appropriate for the guidelines on PSC guidelines on inspection of seafarers' hours of rest to be issued as an MSC circular, considered the information contained in document FSI 21/7 (Secretariat).

**MARITIME LABOUR CONVENTION, 2006**

7.2 The Sub-Committee noted that MLC 2006 will come into force on 20 August 2013, in accordance with the requirement for the entry into force of the Convention, which was fulfilled with the ratification by the Russian Federation and the Philippines in 2012.

**IMPLEMENTATION OF THE 2010 MANILA AMENDMENTS**

7.3 The Sub-Committee recalled that FSI 20 had prepared the draft guidelines for PSCOs on certification of seafarers' rest hours (FSI 20/WP.5, annex 2) and had agreed to conduct a more detailed technical review of the draft guidelines, other than editorial, at a future session.

7.4 The Sub-Committee agreed to defer further consideration of the development of the draft guidelines for port State control officers on certification of seafarers' rest hours to the next session of the Sub-Committee, provided that a dedicated working group could be established to deal with PSC-related matters at that session.

7.5 The Sub-Committee also agreed to request MSC 92 to extend the target completion year of this agenda item from 2013 to 2014.

## **8 DEVELOPMENT OF GUIDELINES ON PORT STATE CONTROL UNDER THE 2004 BWM CONVENTION**

8.1 The Sub-Committee noted that, since FSI 20, three more States (Denmark, Niue and the Russian Federation) have acceded to the International Convention for the Control and Management of Ships' Ballast Water and Sediments, 2004 (BWM Convention), which brought the number of Contracting Governments to 36, representing 29.07 per cent of the world merchant fleet tonnage. The Sub-Committee urged other Member States to ratify the Convention at the earliest possible opportunity.

8.2 The Sub-Committee recalled that MEPC 52 had instructed it to develop PSC Guidelines under the BWM Convention and in view of the significant volume of work required, MEPC 61 had agreed to extend the target completion date for this agenda item to the year 2013.

8.3 The Sub-Committee considered document FSI 21/8 (Secretariat), which informed that BLG 16 had progressed the work towards developing a BWM circular on ballast water sampling and analysis and that MEPC 64 had endorsed the forwarding of documents BLG 16/4 and BLG 16/WP.4 to FSI 21 for consideration, in the context of developing PSC Guidelines under the BWM Convention.

8.4 The Sub-Committee noted that BLG 17 had agreed to the draft circular on Guidance to ballast water sampling and analysis for trial use, for approval by MEPC 65 and subsequent dissemination as a BWM circular. In this context, BLG 17 had invited MEPC 65 to consider a number of recommendations, such as the principle of "No criminal sanctions solely on the basis of sampling", provided that the ship has a duly maintained and operated Ballast Water Management System (BWMS) and that all documentation was in good order. BLG 17 had also forwarded document BLG 17/WP.4 to the Sub-Committee for consideration and action as appropriate and had invited it to finalize the PSC Guidelines under the 2004 BWM Convention as a matter of urgency, prior to the entry into force of the Convention, in order to facilitate the trial period of the Guidance to ballast water sampling and analysis.

8.5 With a view to progressing the development of the Guidelines, the Sub-Committee considered a proposal by the Chairman for the establishment of a correspondence group to develop the *Guidelines for port State control under the BWM Convention* for finalization at the next session of the Sub-Committee. The delegation of Canada, supported by a large number of other delegations, agreed with the Chairman's proposal and offered to coordinate the work of such a group.

8.6 The Sub-Committee noted that the delegations of the Bahamas and China did not support the proposal to establish a correspondence group at this stage and expressed concerns regarding the interim nature of the draft Circular on Guidance to ballast water sampling and analysis for trial use agreed at BLG 17, its relationship with the PSC Guidelines in discussion, the absence of the final report of BLG 17, and the fact that the MEPC has yet to consider the outcome of BLG 17. Their position received limited support. The Sub-Committee also noted the information provided by the delegation of Ireland regarding the recent progress made by regional PSC regimes in the development of port State control Guidelines for the BWM Convention.

8.7 Following discussion, the Sub-Committee established the correspondence group under the coordination of Canada<sup>2</sup> to develop the *Guidelines for port State control under the BWM Convention* for finalization at the next session of the Sub-Committee recognizing, at the same time, the need to finalize these Guidelines as a matter of urgency. The Sub-Committee agreed to address the concerns expressed above by including specific instructions in the terms of reference of the correspondence group and by inviting MEPC 65 to amend the terms of reference as deemed appropriate after its conclusion of matters related to sampling and analysis of ballast water and the trial period. It was also agreed that the correspondence group would not commence work until after MEPC 65. The Sub-Committee further agreed to invite regional PSC regimes to submit relevant drafts to the correspondence group to facilitate the further development of the Guidelines.

8.8 The Sub-Committee, having considered the draft terms of reference prepared by a drafting group chaired by its Vice-Chair, noted the view of the United States that the correspondence group should not discuss the trial period of the Guidance to ballast water sampling and analysis. The Sub-Committee invited MEPC 65 to further instruct the correspondence group on this matter and also agreed to the following terms of reference for the correspondence group it had established:

"Using the draft contained in annex 3 to document FSI 19/6 and referencing relevant guidelines developed by regional PSC regimes, also taking into consideration the discussion in plenary, the outcome of BLG 16, BLG 17, MEPC 64, and in particular the outcome of MEPC 65, the Correspondence Group on the Guidelines for port State control inspection for compliance with the International Convention for the Control and Management of Ships' Ballast Water and Sediments, 2004 is instructed to:

- .1 continue the development of draft IMO Guidelines for port State control inspection for compliance with the International Convention for Control and Management of Ships' Ballast Water and Sediments, 2004, giving due consideration to preventing undue delay and detentions and considering the efficient operation of ships;
- .2 refrain from discussing any ballast water sampling or analysis methodology until the appropriate methodology or protocols have been agreed by IMO; and
- .3 submit a written report and the draft Guidelines to the next session of the Sub-Committee."

#### **Extension of the target completion year**

8.9 In view of the above, the Sub-Committee invited MEPC 65 to extend the target completion year for the output to 2014.

---

<sup>2</sup>

Mr. Chris Wiley  
Manager, Technical Services  
Marine Safety – Ontario Region  
Transport Canada  
Tel: 1 519 464 5092  
Fax: 1 519 383 1997  
E-mail: chris.wiley@tc.gc.ca



---

## **9 COMPREHENSIVE ANALYSIS OF DIFFICULTIES ENCOUNTERED IN THE IMPLEMENTATION OF IMO INSTRUMENTS**

### **REVIEW OF THE CONSOLIDATED AUDIT SUMMARY REPORTS (CASRs)**

9.1 The Sub-Committee recalled that MEPC 61 and MSC 88, having noted the views of the Sub-Committee on how it should carry out the analysis of consolidated audit summary reports (CASRs) and for advising the Council accordingly, had endorsed the proposal of FSI 18 to continue the current methodology for analysing future CASRs, as well as the root causes of the findings, after a more substantial number of audits have been carried out, in order to make recommendations on all relevant matters and, in particular, for capacity-building or technical assistance.

9.2 The Sub-Committee, having also recalled that FSI 20 had requested the Secretariat to continue the analysis of future CASRs, if referred to the Sub-Committee, was advised that C 109 had noted the information provided in document C 109/5/1, containing the sixth consolidated audit summary report set out in the annex thereto, and had requested the MSC and the MEPC to consider the report and to advise the Council, in due course, of the outcome of their consideration.

9.3 In this context and having noted the need to establish a working group at its next session to review all relevant findings identified through the analysing process that was undertaken by the Secretariat and to make substantial recommendations to the Committees, in particular, on the recurrent areas of findings, the Sub-Committee requested the Secretariat to incorporate the sixth CASR in the analysis carried out so far and to submit it for detailed consideration at the next session of the Sub-Committee.

### **DIFFICULTIES ENCOUNTERED IN THE IMPLEMENTATION OF IMO INSTRUMENTS**

9.4 The Sub-Committee noted document FSI 21/9/1 (Islamic Republic of Iran) on difficulties encountered in the implementation of IMO instruments due to the refusal by classification societies which are members of IACS to provide technical services since 1 July 2012. The delegation of the Islamic Republic of Iran stated that the need to use the technical services of international competent classification societies, as well as their practical roles for ships in compliance with relevant technical standards as mentioned in various IMO conventions, in particular Article 1 of the Convention of the International Maritime Organization, and different articles of SOLAS and MARPOL Conventions, is undeniable for safe shipping at an international level. The delegation indicated that the Islamic Republic of Iran, having been deprived from using the services of such associations, has tried to remove the side effects of this restriction through using the services of permitted national classification societies. The delegation also indicated that it strongly believed that the existence of this condition and its continuation would not give a good image of the international maritime society, as it contrasts with its cooperative nature and absence of any kind of discriminatory behaviour.

## **10 REVIEW OF THE SURVEY GUIDELINES UNDER THE HSSC AND THE ANNEXES TO THE CODE FOR THE IMPLEMENTATION OF MANDATORY IMO INSTRUMENTS**

### **PROPOSAL FOR EXEMPTION OF SURVEY AND CERTIFICATION REQUIREMENTS UNDER THE MARPOL CONVENTION FOR UNMANNED AND NON-SELF-PROPELLED BARGES**

10.1 The Sub-Committee was advised that MEPC 64 referred document MEPC 64/7/6 (Republic of Korea) for its consideration, with a view to defining when survey and certification requirements could be exempted for unmanned and non-self-propelled barges under a specific MARPOL Annex.

10.2 In this context, the Sub-Committee considered the above-mentioned document, which contained the proposal to exempt unmanned and non-self-propelled barges, with no on board source of pollutants to the marine environment, from the application of the MARPOL Convention and to develop a method to exempt survey and certification requirements relating to each Annex of that Convention for such ships.

10.3 While noting the support from the majority of those delegations that spoke for the proposal contained in the above-mentioned document for the development of a draft MEPC circular, the Sub-Committee also noted the views expressed that consideration could be given to widening the scope of the proposed exemptions to manned barges. However, these views were not supported, since it was found preferable to first conduct a detailed, annex per annex review, of those requirements which should apply in relation to unmanned and non-self-propelled barges.

10.4 Following discussion, the Sub-Committee referred the matter to the working group to be established under this item and instructed it to consider the proposal contained in document MEPC 64/7/6, with a view to defining when survey and certification requirements could be exempted for unmanned and non-self-propelled barges under a specific MARPOL Annex.

### **CLARIFICATION OF "PERIODICAL SURVEY" MENTIONED IN SOLAS CHAPTER XII**

10.5 The Sub-Committee had for its consideration document FSI 21/10/3 (India), proposing to clarify the meaning of "periodical survey" in the provisions of SOLAS chapter XII, for the purpose of consistency with other instruments, while considering that the term "periodical survey" has been used in SOLAS chapter XII with a meaning different from that in the *Survey Guidelines under the Harmonized System of Survey and Certification (HSSC), 2011* (resolution A.1053(27)) or the International Code on the Enhanced Programme of Inspections during Surveys of Bulk Carriers and Oil Tankers, 2011 (2011 ESP Code).

10.6 Taking into account the wide support expressed in plenary for the proposed development of a draft circular containing a unified interpretation of the meaning of "periodical survey" for the alternative proposal to draft amendments to the existing requirements, the Sub-Committee referred document FSI 20/10/3 to the above-mentioned working group for detailed technical consideration of the term "periodical survey" contained in the provisions of SOLAS regulations XII/3, XII/7 and XII/11, with a view to developing a draft MSC circular, which should contain some degree of flexibility as envisaged in the regulations for the purpose of consistency with other instruments.

---

**AMENDMENTS TO RESOLUTION A.1053(27)**

10.7 The Sub-Committee recalled that FSI 20 had agreed that the draft amendments to the Survey Guidelines needed to be further developed to include requirements deriving from amendments to the relevant IMO instruments entering into force up to and including 31 December 2013, with a view to submitting the draft amendments and the associated draft Assembly resolution for consideration and approval by MEPC 65 and MSC 92 and subsequent adoption by A 28.

10.8 The Sub-Committee also recalled that FSI 20 had established a Correspondence Group on the Review of the Survey Guidelines under the HSSC and the annexes to the Code for the implementation of mandatory IMO instruments, under the coordination of Germany, to continue to update the Survey Guidelines under the HSSC.

10.9 The Sub-Committee considered the relevant part of document FSI 21/10 containing the report of the Correspondence Group on the Review of the Survey Guidelines under the HSSC and the annexes to the Code for the implementation of mandatory IMO instruments, presenting proposed amendments to the *Survey Guidelines under the Harmonized System of Survey and Certification (HSSC), 2011* (resolution A.1053(27)) deriving from the amendments to the relevant IMO instruments entering into force up to and including 31 December 2013. In the report, the group recommended that a number of non-mandatory instruments adopted by MSC 90 should be considered for inclusion or otherwise in the Survey Guidelines.

10.10 Having considered a proposal by the delegation of Spain that, in order to go beyond checking the availability of the International Energy Efficiency Certificate in the context of the survey conducted in accordance with the new chapter 4 of MARPOL Annex VI, the measures established in the SEEMP should be verified either as part of the surveys within the scope of the IAPP certificate or within the scope of the Energy Efficiency Certificate, the Sub-Committee concurred with the conclusion of the above-mentioned correspondence group and did not include the proposal in the Guidelines.

10.11 The Sub-Committee, having noted the views expressed that the reference to "MMSI", in annex 1 to document FSI 21/10, as the sole means for identifying a ship in the context of the Cargo Ship Safety Radio Certificate should be revised in order to allow alternative means of identification, agreed to refer the matter to the working group to be established.

10.12 Furthermore, the Sub-Committee, with regard to the difference between the terminologies "examining" and "testing", agreed that the future review of the Survey Guidelines should also indicate whether the terminology "checking" should correspond either to "examining" or "testing" procedures.

10.13 The Sub-Committee further considered documents FSI 21/10/1 and FSI 21/INF.13 (Secretariat), containing a list of new and outstanding requirements adopted since FSI 20.

10.14 Following discussion, the Sub-Committee referred the consideration of the relevant part of the report of the correspondence group (FSI 21/10), together with document FSI 21/INF.13, to the above-mentioned working group for finalization of the draft amendments to the *Survey Guidelines under the Harmonized System of Survey and Certification (HSSC), 2011* (resolution A.1053(27)), together with a draft Assembly resolution, for consideration and approval by MEPC 65 and MSC 92 and subsequent adoption by A 28.

**AMENDMENTS TO RESOLUTION A.1054(27)**

10.15 The Sub-Committee was advised that MEPC 64 and MSC 91 approved the draft Assembly resolution on Adoption of the IMO Instruments Implementation Code (III Code), for submission to A 28. The III Code would ultimately supersede the current, non-mandatory, *Code for the Implementation of Mandatory Instruments, 2011* (resolution A.1054(27)).

10.16 The Sub-Committee was also advised that MEPC 64 and MSC 91 instructed the Sub-Committee to develop, at this session, a new non-mandatory instrument in the form of a draft Assembly resolution, solely containing the annexes to the annex to the current, non-mandatory, *Code for the Implementation of Mandatory IMO Instruments, 2011* to be reviewed in the future in the same way as the annexes to the non-mandatory Code have been updated regularly since its initial adoption.

10.17 The Sub-Committee recalled that FSI 20 had agreed that the draft amendments to the annexes to the annex to the *Code for the Implementation of Mandatory IMO Instruments, 2011* (resolution A.1054(27)) needed to be further developed in order to include the requirements deriving from the amendments to mandatory IMO instruments entering into force up to and including 1 July 2014, for consideration by the Sub-Committee at this session.

10.18 The Sub-Committee considered the relevant part of the report of the correspondence group (FSI 21/10), containing proposed amendments to the above-mentioned annexes, taking into account the new provisions, the entry into force of which extends to 1 July 2014.

10.19 The Sub-Committee also considered documents FSI 21/10/2 and FSI 21/INF.14 (Secretariat) containing a list of provisions that could be looked into for amending the above-mentioned annexes. The list of provisions is derived from relevant amendments to mandatory instruments, which were adopted by MEPC 63, MSC 90, MEPC 64 and MSC 91.

10.20 Having considered the proposed title for the new instrument to be "Non-exhaustive list of obligations under instruments relevant to the IMO Instruments Implementation Code (III Code)", the Sub-Committee recommended that, if possible, the above-mentioned working group should try to propose a shorter title and referred the proposed amendments contained in documents FSI 21/10/2 and FSI 21/INF.14 to the group for finalization of the annexes to a new draft Assembly resolution, together with a draft text of the Assembly resolution, for consideration and approval by MEPC 65 and MSC 92 and subsequent adoption by A 28.

**ESTABLISHMENT OF THE WORKING GROUP**

10.21 The Sub-Committee established the Working Group on the Review of the Survey Guidelines under HSSC and the annexes to the Code for the Implementation of IMO Mandatory Instruments, 2011 and instructed the group, taking into account the decisions and proposals made in plenary, to:

- .1 consider the proposal contained in document MEPC 64/7/6, with a view to defining when survey and certification requirements could be exempted for unmanned and non-self-propelled barges under a specific MARPOL Annex;
- .2 consider the clarification of "periodical survey" in the provisions of SOLAS regulations XII/3, XII/7 and XII/11 by means of a draft MSC circular, taking into account document FSI 21/10/3, for the purpose of consistency with other instruments;

- .3 finalize draft amendments to the *Survey Guidelines under the Harmonized System of Survey and Certification (HSSC), 2011* (resolution A.1053(27), together with the text of the draft Assembly resolution, using annex 1 to document FSI 21/10, as a basis, and taking into account the information in the lists of requirements contained in documents FSI 21/10 (annex 2) and FSI 21/INF.13, for approval by MEPC 65 and MSC 92, prior to submission to A 28, with a view to subsequent adoption at A 28;
- .4 identify in documents FSI 21/10 (annex 2) and FSI 21/INF.13 those items which have not been dealt with so far and are left for the further development of amendments to the Survey Guidelines, with a view to maintaining the status of the items for future amendments;
- .5 finalize the annexes to the draft Assembly resolution on the Non-exhaustive list of obligations under instruments relevant to the IMO Instruments Implementation Code (III Code), the title of which should be considered, together with the text of the draft Assembly resolution, using document FSI 21/10 (annex 3), as the basis, and taking into account the lists of provisions contained in documents FSI 21/10 (annex 4) and FSI 21/INF.14, for approval by MEPC 65 and MSC 92, prior to submission to A 28, with a view to subsequent adoption at A 28;
- .6 identify in documents FSI 21/10 (annex 4) and FSI 21/INF.14, those items which have not been dealt with so far and are left for the further development of amendments to the annexes to the Assembly resolution, which would contain the Non-exhaustive list of obligations under instruments relevant to the IMO Instruments Implementation Code (III Code), with a view to maintaining the status of the items for future amendments; and
- .7 advise on the re-establishment of a correspondence group under this item and prepare draft terms of reference as appropriate.

#### REPORT OF THE WORKING GROUP

10.22 Having approved the report of the working group (FSI 21/WP.5), in general, the Sub-Committee took the decisions as reflected in the following paragraphs.

#### **Exemption of survey and certification requirements under the MARPOL Convention for unmanned and non-self-propelled barges**

10.23 The Sub-Committee noted that the group had agreed on the following basic principle in order to ensure a common understanding of the terms used in document MEPC 64/7/6 for further consideration within the correspondence group to be established:

The expression "unmanned and non-self-propelled barges with no machinery" will be understood as being limited to vessels (barges) not propelled by mechanical means, having neither crew nor passengers or other persons on board, nor having any accommodation or related facilities, with no machinery installed that may generate oil residues or air pollution, and at the same time carrying no cargoes subject to MARPOL Annex I or Annex II, nor dangerous bulk cargoes.

**Application of SOLAS regulations XII/3, XII/7 and XII/11**

10.24 The Sub-Committee agreed to the text of the draft MSC circular on the application of SOLAS regulations XII/3, XII/7 and XII/11, as set out in annex 6, with a view to approval by MSC 92, and invited DE 57 to note that, with respect to SOLAS regulation XII/7, using the expression "periodical survey" in accordance with the enhanced programme of inspections during surveys as required by regulation XI-1/2, the term "periodical survey" is used in annex 6 to annex A, part A of the 2011 ESP Code.

**Survey Guidelines under the HSSC**

10.25 The Sub-Committee agreed to the draft amendments to the Survey Guidelines under the *Harmonized System of Survey and Certification, 2011* (resolution A.1053(27)), together with the text of the draft Assembly resolution, as set out in annex 7, for approval by MEPC 65 and MSC 92, prior to submission to A 28 for adoption.

10.26 In this context, the Sub-Committee noted the list of amendments to mandatory instruments not yet included in the Survey Guidelines, as set out in document FSI 21/WP.5, annex 5, with a view to maintaining the status of the mandatory items for future amendments to the Survey Guidelines.

10.27 Having noted that the Sub-Committee had reviewed MSC.1/Circ.1426 on the interpretation of SOLAS regulation II-1/3-5 and MSC.1/Circ.1379 on asbestos on board ships in the context of discussing the draft amendments to the Survey Guidelines under the HSSC, the delegation of the Netherlands, supported by France, indicated that it was content with the proposal by IACS, during DE 56, for a Unified Interpretation on implementation of SOLAS regulation II-1/3-5 and MSC.1/Circ.1379. Although the delegation welcomed this unified interpretation, as a first step to check compliance with SOLAS regulation II-1/3-5, it was of the view that it cannot be considered as adequate. Asbestos-free declarations can be easily forged; moreover, the specific unified interpretation only deals with new installations, not with ships in their current condition. For that reason the Netherlands, during DE 56, urged for an additional unified interpretation (or an extension of the current one) dealing with sampling, testing and removal, cleaning, and decontamination of asbestos, since only with such additional measures could true compliance with SOLAS II-1/3-5 be demonstrated.

**Non-exhaustive list of obligations**

10.28 The Sub-Committee, having decided to retain the originally proposed name, agreed to the text of the 2013 Non-exhaustive list of obligations under instruments relevant to the IMO Instruments Implementation Code (III Code), together with the text of the draft Assembly resolution, as set out in annex 8, for submission to MEPC 65 and MSC 92 for approval, prior to submission to A 28, for consideration with a view to adoption at A 28. The Sub-Committee authorized the Secretariat, when preparing the text of the consolidated non-exhaustive list of obligations, as appropriate, to effect any editorial corrections that may be identified.

10.29 In this context, the Sub-Committee noted the list of amendments to mandatory instruments not yet included in the draft non-exhaustive list of obligations, as set out in document FSI 21/WP.5, annex 7, with a view to maintaining the status of the mandatory items for future amendments to the non-exhaustive list.

## Establishment of the correspondence group

10.30 The Sub-Committee established the Correspondence Group<sup>3</sup> on the Review and Update of the Survey Guidelines under the HSSC and the Non-exhaustive list of obligations under instruments relevant to the IMO Instruments Implementation Code (III Code), under the following terms of reference:

- .1 consider the issue related to exempting survey and certification requirements under MARPOL:
  - .1 consider when survey and certification requirements under MARPOL Annexes I, IV and VI could be exempted for non-self-propelled vessels (barges) having no machinery generating oil residues and air pollution installed, no crew and no accommodation or other facilities for persons on board; and
  - .2 based on the proposal contained in document MEPC 64/7/6 and taking into account the views expressed by FSI 21, bring forward a proposal or recommendation to the next session of the Sub-Committee as appropriate;
- .2 develop draft amendments to the Survey Guidelines under the HSSC, deriving from those amendments to the relevant IMO instruments that might be adopted by MEPC 65 and MSC 92 to enter into force up to and including 31 December 2015, as provided by the Secretariat, and taking into account annex 5 of document FSI 21/WP.5, with a view to providing draft amendments to the Survey Guidelines for submission to the Assembly at its twenty-ninth session (A 29) for adoption;
- .3 identify in document FSI 21/WP.5 (annex 5) and from the amendments to the relevant IMO instruments that might be adopted by MEPC 65 and MSC 92, those items which have not been dealt with and which require the development of further draft amendments to the Survey Guidelines, with a view to maintaining the items for future amendments;
- .4 develop draft amendments to the list of obligations under instruments relevant to the IMO Instruments Implementation Code (III Code), deriving from those amendments to the relevant IMO instruments that might be adopted by MEPC 65 and MSC 92 to enter into force up to and including 1 July 2016, as provided by the Secretariat, with a view to providing draft amendments to A 29 for adoption;
- .5 identify from the amendments to the relevant IMO instruments that might be adopted by MEPC 65 and MSC 92, those items which have not been dealt with, with a view to maintaining the items for future amendment to the list of obligations under instruments relevant to the III Code; and;
- .6 submit a report to the next session of the Sub-Committee.

---

<sup>3</sup>

Coordinator:

Mr. Cui Yuwei  
Deputy General Manager  
Survey Department for Ships in Service  
China Classification Society  
Email: [chn\\_hssc@ccs.org.cn](mailto:chn_hssc@ccs.org.cn)  
Tel: 0086 10 5811 2038  
Fax: 0086 10 5811 2807

## **11 CONSIDERATION OF IACS UNIFIED INTERPRETATIONS**

11.1 The Sub-Committee had for its consideration document FSI 21/11 (IACS), providing information on IACS Unified Interpretations (UIs) (SC 256 and MPC 100) of the date of delivery under the SOLAS and MARPOL Conventions.

11.2 Having initially noted some views stating that, in the absence of any known problem when applying the provisions of SOLAS, there might not be a need to develop the proposed clarification of the date of delivery, a potential problem relating to different dates of delivery and survey dates and possible delays in the delivery was raised, as duly addressed by MSC.1/Circ.1247. Accordingly, the Sub-Committee agreed on the need to clarify the date of delivery.

11.3 In this context, the Sub-Committee noted the need for recommending a unique date, such as the date of the initial survey for the Safety Construction Certificate, in the situation where delivery dates might be different under SOLAS and MARPOL requirements.

11.4 Having noted that, unless otherwise instructed by the Administration on whose behalf the members of IACS are authorized to act as recognized organizations, IACS members have been using the above-mentioned UIs as of 28 June 2012, the Sub-Committee welcomed the statement by IACS that, should the Organization agree on changes to the UIs submitted for review, then, IACS would harmonize them with the Organization's decision.

11.5 Following discussion, the Sub-Committee agreed to refer document FSI 21/11 (IACS) to the Working Group on Review of Survey Guidelines under the HSSC and the annexes to the Code for the Implementation of Mandatory IMO Instruments, 2011 established under item 10, and instructed it to prepare a draft MSC-MEPC.5 circular on the Unified Interpretations of the date of delivery under the SOLAS and MARPOL Conventions, using the annex to document FSI 21/11 as a basis and taking into account the discussion and decisions made in plenary.

11.6 Having considered the report of the working group (FSI 21/WP.5), the Sub-Committee agreed to the text of the draft MSC-MEPC.5 circular on the unified interpretation of the application of regulations governed by the building contract date, the keel laying date and the delivery date for the requirements of the SOLAS and MARPOL Conventions, as set out in annex 9, with a view to approval by MEPC 65 and MSC 92.

## **12 MEASURES TO PROTECT THE SAFETY OF PERSONS RESCUED AT SEA**

12.1 The Sub-Committee recalled that MSC 84, having agreed to include a high-priority item on "measures to protect the safety of persons rescued at sea" in the work programmes of the COMSAR and FSI Sub-Committees, had decided, on practical grounds, to request the COMSAR Sub-Committee to consider the new item first and then, at a later date, to progress its work in cooperation with the FSI Sub-Committee so that it will be completed within the agreed time frame.

12.2 The Sub-Committee, having been informed orally about the related outcome of COMSAR 17, noted that the second formal regional meeting of the group working on the development of a draft regional arrangement, which was planned to be held on 18 April 2012, had been postponed, following a request for more time to be given for informal consultations between some of the parties concerned.



12.3 The Sub-Committee, having also recalled that FSI 20 had agreed to await the outcome of COMSAR 17 before considering the matter further, was advised that COMSAR 17 had invited MSC 92 to extend the target completion date to 2014. Based on the aforementioned request, the Sub-Committee agreed to await the outcome of COMSAR 18 and invited MSC 92 to similarly extend the current target completion date for its work on this item.

### **13 ILLEGAL, UNREPORTED AND UNREGULATED (IUU) FISHING AND RELATED MATTERS**

13.1 The Sub-Committee recalled that the second meeting of the Joint IMO/FAO Ad Hoc Working Group on Illegal, Unreported and Unregulated (IUU) Fishing and Related Matters (JWG) was held from 16 to 18 July 2007, at the Headquarters of the Food and Agriculture Organization of the United Nations (FAO) in Rome. The JWG had agreed to maintain the mechanism of the group and had recommended the organization of the third meeting of the JWG, within the next three to five years, depending on the progress made on relevant issues by both Organizations.

13.2 The Sub-Committee also recalled the status of the preparatory work for the JWG's third meeting, which was reported at its last session (FSI 20/15). In this context, the Sub-Committee, having noted the potential postponement of the holding of the third JWG to next year, due to a series of administrative issues, concurred with the need, expressed during the presentation of the documents referred to in the following paragraphs, in particular, for the FAO to make significant progress with the Global Record (GR) for fishing vessels and to pursue the preparatory work for the holding of the third JWG. The Sub-Committee invited delegations to make submissions to the next session of the Sub-Committee on items for discussion at the third JWG, and recommended to MEPC 65 and MSC 92 to extend the target completion date of this output to 2015, to allow consideration of the report of the third JWG at FSI 23.

#### **IMO Ship Identification Number Scheme to cover fishing vessels**

13.3 The Sub-Committee considered document FSI 21/13 (WWF), containing proposals on issues which might be relevant to the third JWG and, in particular, the application of the *IMO ship identification number scheme* to fishing vessels, on a voluntary basis, by amending resolution A.600(15). In recommending that the IMO numbering scheme be extended to all fishing vessels of 100 gross tonnage and above; or all fishing vessels of whatever size, operating in waters beyond the limits of exclusive national jurisdiction of the flag State, WWF indicated that an independent study commissioned by FAO had concluded that the IMO numbering scheme would be the most suitable on the basis of efficiency, compatibility and technical considerations. The FAO Committee on Fisheries (COFI) had expressed its continued support for the development of the GR at both its 29th and 30th sessions, and emphasized the importance of the implementation of the Unique Vessel Identifier as a universal method to permanently identify fishing vessels.

13.4 The Sub-Committee also considered document FSI 21/13/1 (Secretariat), containing comments from IHS-F, the managers of the IMO ship identification number scheme, in relation to the preparation for the third Joint FAO/IMO Ad Hoc Working Group on IUU Fishing and Related Matters, as well as any relevant outcome of SLF 55. In particular, the Sub-Committee was made aware that IHS-F had voluntarily extended the IMO numbering scheme to cover fishing vessels and other related vessels, such as fishing factory vessels, fishing support and fishing/research vessels. IHS-F had now built up a population of over 23,000 fishing vessels of 100 gross tons and above, which is a sizeable part of the known population, but is not definitive.

13.5 IHS-F also indicated that the adoption of the IMO number might be recommended as a practical and viable solution for creating a unique number for each (steel hull) fishing vessel of 100 gross tons and above, within the GR. With reference to fishing vessels below 100 gross tons that are made of a variety of hulls, including wood, IHS-F stated that they are open to offer expert technical assistance with regard to the GR and would be pleased to discuss further the possibility of collecting data on these ships, including issuing a unique identifier.

13.6 While considering document FSI 21/13/2 (FAO), containing comments on documents FSI 21/13 and FSI 21/13/1, the Sub-Committee was informed that the ongoing preparation of a comprehensive record of fishing vessels, refrigerated transport vessels, supply vessels and beneficial ownership (known as the Global Record), is a priority work item as endorsed by its governing body, with the aim to develop a system to uniquely identify a vessel (UVI) for insertion in a certificate of registry, where there is a requirement in national legislation to register a vessel.

13.7 The FAO representative indicated that since refrigerated transport vessels and certain types of vessels used in support of aquaculture activities and not classified as fishing vessels already fall under the IMO Ship Identification Number Scheme, the IHS-F numbering system, which in turn forms the basis for the IMO numbering scheme and with the former already being provided to fishing vessels of 100 gross tonnage and above, is recognized to be a valid basis for a UVI. In this regard, FAO agrees with the recommendation for the adoption of the IMO number for fishing vessels of 100 gross tonnage and above.

13.8 Based on the documents submitted and, in particular, taking into account the postponement of the third JWG to 2014 and the reported FAO priority work item to develop a UVI, for which the *IMO ship identification number scheme* could form the basis, the Sub-Committee discussed amending the current regulatory framework of the IMO numbering scheme (resolution A.600(15)) to remove the exemption of fishing vessels in order to allow the voluntary application of the scheme to fishing vessels of 100 gross tons and above.

13.9 The majority of the delegations that spoke supported the application of the IMO ship identification number Scheme to fishing vessels of 100 gross tonnage and above on a voluntary basis, which could be achieved simply by revising resolution A.600(15). In this context, the Sub-Committee, taking into account that the matter relates to issues which are relevant to the fight against IUU fishing and might be covered by output 4.0.2.2 on Development and management of mandatory IMO numbering scheme, considered drafting, at this session, an Assembly resolution revising resolution A.600(15) to remove the exemption of fishing vessels in order to allow the voluntary application of the scheme to fishing vessels of 100 gross tons and above.

13.10 Following discussion and taking into account the fact that some delegations considered that the matter of the revision of resolution A.600(15) had not been anticipated for discussion at this session of the Sub-Committee, and that the concurrence of MSC 92 was necessary prior to developing a draft Assembly resolution to amend resolution A.600(15), the Sub-Committee invited MSC 92 to consider developing a draft Assembly resolution on the basis of existing tonnage criteria, for approval prior to submission to A 28 for adoption, as appropriate.

13.11 For the long term, the Sub-Committee noted the view that the Organization might be willing to consider, in the future, issues such as the management of the IMO numbering schemes by a private entity, in particular in the context of the extension of the scheme, as suggested by the delegation of Malta; and the further application of the scheme to all fishing vessels, irrespective of their tonnage and/or their registration with a regional commission,

as proposed by the delegation of Vanuatu; or fishing beyond areas under the exclusive jurisdiction of the flag State, as proposed by the delegation of Australia. The possibility of amending other relevant instruments dealing with unique vessel identification, as proposed by the delegations of United States and Venezuela (Bolivarian Republic of); or the detailed review of the tonnage and length calculation methods and the hull material for fishing vessels covered by the scheme, as proposed by the delegation of Spain, were also issues that could be considered in the future.

### **Cape Town Agreement, 2012**

13.12 Having recalled that the second JWG had put forward the initial proposal for an agreement on the Implementation of the Provisions of the Torremolinos Protocol of 1993 relating to the Torremolinos International Convention for the Safety of Fishing Vessels, 1977, the Sub-Committee urged Member States to deposit an instrument in respect of the Cape Town Agreement of 2012, at the earliest convenience.

## **14 REVIEW OF GENERAL CARGO SHIP SAFETY**

14.1 The Sub-Committee was advised that MSC 89, having considered the report of the FSA Experts Group (MSC 89/WP.3), endorsed the group's review of the FSA study on General Cargo Ship Safety (MSC 88/19/2) carried out by IACS and, in particular, noted that the study was in line with the FSA Guidelines.

14.2 The Sub-Committee was further advised that with regard to the final recommendations (Risk Control Options (RCOs)) included in the FSA study on General Cargo Ship Safety, MSC 90 had agreed to include the output on "Review of general cargo ship safety" in the work programme of the Sub-Committee with a target completion year of 2013, and had instructed the Sub-Committee to consider the relevant RCOs listed in annex 4 to document MSC 90/WP.7, i.e. RCO 19 (Extended survey on general cargo ships ) and RCO 20 (Port State control inspector training for general cargo ships).

### **EXTENDED SURVEY ON GENERAL CARGO SHIPS (RCO 19)**

14.3 With regard to RCO 19 on extended survey on general cargo ships, the Sub-Committee was advised that this RCO was proposed on the basis of the FSA study conducted by IACS (MSC 88/19/2, MSC 88/INF.6 and MSC 88/INF.8), with the purpose of reducing the probability of hidden deficiencies that may cause hull damage with water ingress while, according to the study, it is expected that the risk of foundering and hull damage could be reduced.

14.4 The observer delegation of IACS referred to their submission to MSC 88 (MSC 88/INF.8) on the issue of the cost-benefit assessment, which indicated that the net cost of averting a fatality under RCO 19 was below the US\$3 million threshold, but that when sensitivity analysis was applied, that cost might not always remain below the threshold.

14.5 Having briefly noted the possible work involved and that existing survey and inspection regimes should be vigorously implemented, the Sub-Committee agreed that further consideration of the matter is required and invited Member States and international organizations to make relevant submissions to the next session of the Sub-Committee, taking into account the views expressed and that it might be beneficial to, first, verify the effective implementation of the current survey regime. The Sub-Committee also invited MSC 92 to concur with this course of action.

**PORT STATE CONTROL INSPECTOR TRAINING FOR GENERAL CARGO SHIPS (RCO 20)**

14.6 The Sub-Committee was advised that this RCO had also been proposed on the basis of the above-mentioned FSA study, with the expectation that the training of PSC inspectors would increase their technical knowledge with respect to problematic areas in relation to ship types. Such training could improve the exchange of information with respect to deficiencies and hence would focus attention on the most problematic areas.

14.7 The observer delegation of IACS, referring to its earlier statement on the issue of the cost-benefit assessment, indicated that the net cost of averting a fatality under RCO 20 was below the US\$3 million threshold and remained below the threshold, regardless of the sensitivity analysis.

14.8 Following discussion, the Sub-Committee agreed to recommend that further consideration of the matter is required and invited Member States and international organizations, in particular, PSC regimes, to make relevant submissions to the next session of the Sub-Committee on the development of such a training course for PSCOs, also taking into account any relevant outcome of CICs, which have already been conducted in relation to this topic. The Sub-Committee also invited MSC 92 to concur with this course of action.

14.9 In the context of the outcome of the consideration of both RCO 19 and RCO 20, the Sub-Committee recommended that MSC 92 should extend the target completion date for this output to 2014.

**15 WORK PROGRAMME AND AGENDA FOR THE NEXT SESSION OF THE SUB-COMMITTEE**

15.1 The Sub-Committee noted that the Assembly, at its twenty-seventh session, had approved the *Strategic Plan for the Organization (for the six-year period 2012 to 2017)* (resolution A.1037(27)) and the *High-level Action Plan of the Organization and priorities for the 2012-2013 biennium* (resolution A.1038(27)).

15.2 The Sub-Committee also noted that MSC 91 had requested all sub-committees to prepare their respective proposals for the High-level Action Plan for the coming biennium, for consideration by MSC 92, for inclusion in the Committee's proposals to C 110 regarding the High-level Action Plan of the Organization for 2014-2015.

15.3 With regard to the proposed sub-committees' restructuring, the Sub-Committee further noted that the Sub-Committee should still prepare its biennial and provisional agendas, bearing in mind that they may be subject to change pending the decisions of MEPC 65, MSC 92 and C 110 on the proposed restructuring.

**Biennial agenda and provisional agenda for the next session of the Sub-Committee**

15.4 Taking into account the progress made during this session, the Sub-Committee prepared its proposed biennial agenda for the 2014-2015 biennium, and the provisional agenda for its next session (FSI 21/WP.2), based on the biennial agenda approved by MSC 90, MEPC 64 and MSC 91, as set out in annexes 10 and 11, respectively, for approval by MEPC 65 and MSC 92.

**Arrangements for the next session**

15.5 The Sub-Committee established correspondence groups on the following subjects, with their reports being submitted to the next session of the Sub-Committee:

- casualty analysis and statistics;
- review and update of the Survey Guidelines under the Harmonized System of Survey and Certification (HSSC), 2011 and the non-exhaustive list of obligations under instruments relevant to the IMO Instruments Implementation Code (III Code); and
- development of guidelines for port State control under the 2004 BWM Convention.

15.6 The Sub-Committee agreed to establish at its next session working/drafting groups on subjects selected from the following:

- casualty analysis and statistics;
- review and update of the Survey Guidelines under the Harmonized System of Survey and Certification (HSSC), 2011 and the non-exhaustive list of obligations under instruments relevant to the IMO Instruments Implementation Code (III Code);
- harmonization of port state control activities; and
- comprehensive analysis of difficulties encountered in the implementation of IMO instruments.

**Status of planned outputs**

15.7 The Sub-Committee, having noted that the status of planned outputs of the High-level Action Plan of the Organization and priorities relevant to the Sub-Committee will no longer be produced as part of a working paper produced during the session (e.g. FSI 21/WP.2) in order to avoid a duplication of work, invited MEPC 65 and MSC 92 to note the status of planned outputs, as set out in annex 12.

**Date of the next session**

15.8 The Sub-Committee noted that the twenty-second session of the Sub-Committee is tentatively scheduled to take place from 3 to 7 March 2014.

**16 ELECTION OF CHAIRMAN AND VICE-CHAIRMAN FOR 2014**

16.1 In light of the decisions of C 109 and MSC 91 regarding the potential Sub-Committee restructuring, the Sub-Committee did not elect a Chairman and a Vice-Chairman for 2014.

## **17 ANY OTHER BUSINESS**

### **Global Integrated Shipping Information System (GISIS)**

17.1 While recalling that the development of the Global Integrated Shipping Information System (GISIS) by the Secretariat began in July 2005 to allow public access to sets of data collected by the Secretariat as well as the direct recording of data by Member States, the Sub-Committee noted the information contained in document FSI 21/INF.22 (Secretariat), whereby GISIS presently consists of 24 modules, with a further four under development, for the collection, processing and sharing of shipping-related data in order to assist Member States and the Secretariat in carrying out their respective and complementary duties, to generate reports and to provide information about shipping to the public.

17.2 The Sub-Committee, having recalled that FSI 19 had requested the Secretariat to consider the removal of existing restrictions that apply to the number of queries made by IMO Members in the GISIS module on ship particulars, noted with appreciation the review of the Shipping Information Agreement, signed on 12 May 1997 between IMO and Lloyds Register-Fairplay, the business of which was transferred to IHS-F, and that the restriction in the number of records which can be downloaded has been changed from 100 to 50,000. It further noted that there still is no data download function within the GISIS module.

17.3 Having noted the views expressed that some GISIS modules contained valuable data for shipowners, the Sub-Committee recalled operative paragraph 9 of resolution A.1029(26) which encourages "Member States, the IMO organs, international organizations and all other stakeholders of the global maritime community to raise awareness of the existing and potential use of GISIS, including to the maritime industry as well as to the public, not only for compliance with reporting requirements, but also as a tool to support research work and the adoption of international and national policies on maritime safety and security and environmental protection".

### **Ad Hoc Working Group established by MSC 91**

17.4 The Sub-Committee noted that the Ad Hoc Working Group on the Consideration of the scope of application of amendments to SOLAS and related codes and guidelines in a holistic manner, which MSC 91 had established and which met during this session of the Sub-Committee, will submit its report to MSC 92 under the symbol MSC 92/3/6.

### **Review and reform of the Organization – Restructuring of the Sub-Committees**

17.5 The Sub-Committee noted the information provided by the Secretariat regarding the discussions at C 109 and MSC 91 on matters related to the review and reform of the Organization (C 109/D and MSC 91/22), as well as document MSC 92/22 containing proposed names, terms of reference, provisional agendas, biennial agendas, cost-benefit analysis and meeting dates for each body, for consideration at MEPC 65 and MSC 92, which included a proposal to rename it as the Sub-Committee on Implementation of IMO Instruments (III), with its existing terms of reference.

### **Expression of condolences**

17.6 The Chairman and the Assistant Secretary-General expressed the condolences of the Sub-Committee and the Secretary-General and the Secretariat, respectively, to the delegation of the Bolivarian Republic of Venezuela, following the passing away of President, Jefe Hugo Rafael Chávez Frías. The delegation thanked the Chairman and the Assistant Secretary-General and made a statement, as set out in annex 13.

---

## 18 ACTION REQUESTED OF THE COMMITTEES

18.1 The Maritime Safety Committee, at its ninety-second session, is invited to approve the report in general and, in particular, to:

- .1 approve, subject to MEPC's and FAL's concurrent decisions, the draft FAL.2-MEPC.1-MSC.1 circular on list of certificates and documents required to be carried on board ships (paragraph 3.6 and annex 1);
- .2 endorse, subject to MEPC's concurrent decision, the recommendation to FAL 38 that certificates carried on board have to be valid and drawn up in the form corresponding to the model where required by the relevant international convention and that a certificate may also be considered as "original" or "authentic" while containing an "authorized" electronically applied signature or stamp (paragraph 3.7);
- .3 approve, subject to MEPC's concurrent decision, the draft Assembly resolution on notification and circulation through GISIS, prior to submission to the Assembly at its twenty-eighth session for adoption (paragraph 3.22 and annex 2);
- .4 agree, in principle, with the proposed method, process, and principles for the technical review of the set of GlobalReg standards, as presented in document FSI 21/3/4 (France, Morocco and Vanuatu), for implementation after consideration of the full set of safety standards (paragraph 3.33.1);
- .5 instruct the Sub-Committee to consider in detail, at its next session, the full set of safety standards, including the additional provisions to be developed for passenger ships of 24 metres and above, with a maximum length to be defined, taking into account that GlobalReg should not introduce lower levels of safety and manning compared to current national or regional standards; as well as the timetable for reporting to MSC 93 (paragraphs 3.33.2 and 3.33.3);
- .6 endorse the Sub-Committee's decision to forward the reports on the incidents of the **Commodore Clipper** (GISIS incident C0008451) to the FP, DE and SLF Sub-Committees; **Lisco Gloria** (GISIS incident C0008391) and **Pearl of Scandinavia** (GISIS incident C0008286) to the FP and DE Sub-Committees; **CMA CGM Christophe Colomb** (GISIS incident C0008272-R01) to the DE Sub-Committee; **Deepwater Horizon** to the DE, FP, SLF and STW Sub-Committees; as well as the analyses and comments made by the correspondence group (FSI 21/5), for their consideration and action as appropriate (paragraph 5.8);
- .7 approve, subject to MEPC's concurrent decision, the draft Assembly resolution on *Guidelines to assist investigators in the implementation of the Casualty Investigation Code* (resolution MSC.255(84)) to revoke resolutions A.849(20) and A.884(21), prior to submission to the Assembly at its twenty-eighth session for adoption (paragraph 5.9 and annex 4);
- .8 approve, subject to MEPC's concurrent decision, the draft MSC-MEPC.3 circular on Revised harmonized reporting procedures – Reports required under SOLAS regulations I/21 and a XI-1/6, and MARPOL, articles 8 and 12 to supersede MSC-MEPC.3/Circ.3 (paragraph 5.10 and annex 5);

- .9 approve the draft MSC circular on the application of SOLAS regulations XII/3, XII/7 and XII/11 (paragraph 10.24 and annex 6);
- .10 approve, subject to MEPC's concurrent decision, the draft amendments to the Survey Guidelines under the *Harmonized System of Survey and Certification, 2011* (resolution A.1053(27), together with the text of the draft Assembly resolution, prior to submission to the Assembly at its twenty-eighth session for adoption (paragraph 10.25 and annex 7);
- .11 approve, subject to MEPC's concurrent decision, the 2013 non-exhaustive list of obligations under instruments relevant to the IMO Instruments Implementation Code (III Code), together with the text of the draft Assembly resolution, prior to submission to the Assembly at its twenty-eighth session for adoption (paragraph 10.28 and annex 8);
- .12 approve, subject to MEPC's concurrent decision, the draft MSC-MEPC.5 circular on the unified interpretation of the application of regulations governed by the building contract date, the keel laying date and the delivery date for the requirements of the SOLAS and MARPOL Conventions (paragraph 11.6 and annex 9);
- .13 consider developing a draft Assembly resolution to amend resolution A.600(15) to remove the exemption of fishing vessels in order to allow the voluntary application of the IMO Ship Identification Number Scheme, on the basis of existing tonnage criteria, to fishing vessels of 100 gross tons and above, for approval prior to submission to the Assembly at its twenty-eighth session for adoption (paragraph 13.10);
- .14 concur that further consideration of the matter of risk control options RCO 19 on Extended survey on general cargo ships and RCO 20 on Port State control inspector training for general cargo ships is required, and invite Member States and international organizations to make relevant submissions to the next session of the Sub-Committee (paragraphs 14.5 and 14.8);
- .15 approve, subject to MEPC's concurrent decision, the Sub-Committee's proposed biennial agenda for the 2014-2015 biennium and provisional agenda for its next session (paragraph 15.4 and annexes 10 and 11); and
- .16 note the status of planned outputs of the High-level Action Plan of the Organization (paragraph 15.7 and annexes 12).

18.2 The Marine Environment Protection Committee at its sixty-fifth session, is invited to approve the report in general and, in particular, to:

- .1 approve, subject to MSC's and FAL's concurrent decisions, the draft FAL.2-MEPC.1-MSC.1 circular on list of certificates and documents required to be carried on board ships (paragraph 3.6 and annex 1);
- .2 endorse, subject to MSC's concurrent decision, the recommendation to FAL 38 that certificates carried on board have to be valid and drawn up in the form corresponding to the model where required by the relevant international convention and that a certificate may also be considered as "original" or "authentic" while containing an "authorized" electronically applied signature or stamp (paragraph 3.7);



- 
- .3 approve, subject to MSC's concurrent decision, the draft Assembly resolution on notification and circulation through GISIS, prior to submission to the Assembly at its twenty-eighth session for adoption (paragraph 3.22 and annex 2);
  - .4 approve amended circulars MEPC/Circ.470 on Waste reception facility reporting requirements, MEPC.1/Circ.469/Rev.1 on Revised consolidated format for reporting alleged inadequacies of port reception facilities, MEPC.1/Circ.644 on Standard format for the advance notification form for waste delivery to port reception facilities, MEPC.1/Circ.645 on Standard format for the waste delivery receipt, and MEPC.1/Circ.671 on Guide to good practice for port reception facility providers and users; and request the Secretariat to reissue them as a matter of urgency with the exception of circular MEPC/Circ.470, which should only be reissued after the entry into force of the amendments on regional agreements under MARPOL on 1 August 2013 (paragraph 4.12);
  - .5 approve, subject to MSC's concurrent decision, the draft Assembly resolution on *Guidelines to assist investigators in the implementation of the Casualty Investigation Code* (resolution MSC.255(84)) to revoke resolutions A.849(20) and A.884(21), prior to submission to the Assembly at its twenty-eighth session for adoption (paragraph 5.9 and annex 4);
  - .6 approve, subject to MSC's concurrent decision, the draft circular MSC-MEPC.3 on Revised harmonized reporting procedures – Reports required under SOLAS regulations I/21 and XI-1/6, and MARPOL, articles 8 and 12 to supersede MSC-MEPC.3/Circ.3 (paragraph 5.10 and annex 5);
  - .7 approve, subject to MSC's concurrent decision, the draft amendments to the Survey Guidelines under the *Harmonized System of Survey and Certification, 2011* (resolution A.1053(27)), together with the text of the draft Assembly resolution, prior to submission to the Assembly at its twenty-eighth session for adoption (paragraph 10.25 and annex 7);
  - .8 approve, subject to MSC's concurrent decision, the 2013 non-exhaustive list of obligations under instruments relevant to the IMO Instruments Implementation Code (III Code), together with the text of the draft Assembly resolution, prior to submission to the Assembly at its twenty-eighth session for adoption (paragraph 10.28 and annex 8); and
  - .9 approve, subject to MSC's concurrent decision, the draft MSC-MEPC.5 circular on the unified interpretation of the application of regulations governed by the building contract date, the keel laying date and the delivery date for the requirements of the SOLAS and MARPOL Conventions (paragraph 11.6 and annex 9);
  - .10 approve, subject to MSC's concurrent decision, the Sub-Committee's proposed biennial agenda for the 2014-2015 biennium and provisional agenda for its next session (paragraph 15.4 and annexes 10 and 11); and
  - .11 note the status of planned outputs of the High-level Action Plan of the Organization (paragraph 15.7 and annexes 12).

18.3 The Facilitation Committee, at its thirty-eighth session, is invited to:

- .1 approve, subject to concurrent decision by MEPC 65 and MSC 92, the draft FAL.2-MEPC.1-MSC.1 circular on list of certificates and documents required to be carried on board ships (paragraph 3.6 and annex 1); and
- .2 note, subject to endorsement by MEPC 65 and MSC 92, the recommendation that certificates carried on board have to be valid and drawn up in the form corresponding to the model where required by the relevant international convention and that a certificate may also be considered as "original" or "authentic" while containing an "authorized" electronically applied signature or stamp (paragraph 3.7).

\*\*\*

## **ANNEX 1**

### **DRAFT FAL-MEPC-MSC CIRCULAR**

#### **LIST OF CERTIFICATES AND DOCUMENTS REQUIRED TO BE CARRIED ON BOARD SHIPS, [2013]**

1 The Facilitation Committee, at its [thirty-eighth session (... 8 to 12 April 2013], the Marine Environment Protection Committee, at its [sixty-fifth session (13 to 17 May 2013)], and the Maritime Safety Committee, at its [ninety-second session (12 to 21 June 2013)], approved the list of certificates and documents required to be carried on board ships,[2013] as set out in the annex.

2 This work was carried out in accordance with the provisions of section 2 of the annex to the FAL Convention concerning formalities required of shipowners by public authorities on the arrival, stay and departure of ships. It is reiterated that these provisions should not be read as precluding a requirement for the presentation for inspection by the appropriate authorities of certificates and other documents carried by the ship pertaining to its registry, measurement, safety, manning, classification and other related matters.

3 Due to amendments to relevant instruments since the issuance of FAL.2/Circ.123-MEPC/Circ.769-MSC/Circ.1409, the list has been revised to take account of the relevant provisions of the aforementioned amendments.

4 This circular lists only the certificates and documents that are required under IMO instruments and it does not include certificates or documents required by other international organizations or governmental authorities.

5 This circular should not be used in the context of port State control inspections for which convention requirements should be referred to.

6 Member Governments are invited to note the information provided in the annex and take action as appropriate.

7 This circular supersedes FAL.2/Circ.123-MEPC/Circ.769-MSC/Circ.1409.

\* \* \*

ANNEX

**CERTIFICATES AND DOCUMENTS REQUIRED TO BE CARRIED  
ON BOARD SHIPS**

(Note: All certificates to be carried on board must be valid and drawn up in the form corresponding to the model where required by the relevant international convention or instrument.)

No.	Contents	Reference
<b>1</b>	<b>All ships to which the referenced convention applies</b>	
	<b>International Tonnage Certificate (1969)</b> An International Tonnage Certificate (1969) shall be issued to every ship, the gross and net tonnage of which have been determined in accordance with the Convention.	Tonnage Convention, article 7
	<b>International Load Line Certificate</b> An International Load Line Certificate shall be issued under the provisions of the International Convention on Load Lines, 1966, to every ship which has been surveyed and marked in accordance with the Convention or the Convention as modified by the 1988 LL Protocol, as appropriate.	LL Convention, article 16; 1988 LL Protocol, article 16
	<b>International Load Line Exemption Certificate</b> An International Load Line Exemption Certificate shall be issued to any ship to which an exemption has been granted under and in accordance with article 6 of the Load Line Convention or the Convention as modified by the 1988 LL Protocol, as appropriate.	LL Convention, article 6; 1988 LL Protocol, article 16
	<b>Coating Technical File</b> A Coating Technical File, containing specifications of the coating system applied to dedicated seawater ballast tanks in all types of ships and double-side skin spaces of bulk carriers of 150 m in length and upwards, record of the shipyard's and shipowner's coating work, detailed criteria for coating sections, job specifications, inspection, maintenance and repair, shall be kept on board and maintained throughout the life of the ship.	SOLAS 1974, regulation II-1/3-2; Performance standard for protective coatings for dedicated seawater ballast tanks in all types of ships and double-side skin spaces of bulk carriers (resolution MSC.215(82))
	<b>Construction drawings</b> A set of as-built construction drawings and other plans showing any subsequent structural alterations shall be kept on board a ship constructed on or after 1 January 2007.	SOLAS 1974, regulation II-1/3-7; MSC/Circ.1135 on As-built construction drawings to be maintained on board the ship and ashore

No.	Contents	Reference
	<p><b>Ship Construction File</b> A Ship Construction File with specific information should be kept on board oil tankers of 150 m in length and above and bulk carriers of 150 m in length and above, constructed with single deck, top-side tanks and hopper side tanks in cargo spaces, excluding ore carriers and combination carriers:</p> <ul style="list-style-type: none"> <li>.1 for which the building contract is placed on or after 1 July 2016;</li> <li>.2 in the absence of a building contract, the keels of which are laid or which are at a similar stage of construction on or after 1 July 2017; or</li> <li>.3 the delivery of which is on or after 1 July 2020 shall carry a Ship Construction File containing information in accordance with regulations and guidelines,</li> </ul> <p>and updated as appropriate throughout the ship's life in order to facilitate safe operation, maintenance, survey, repair and emergency measures.</p>	<p>SOLAS 1974, regulation II-1/3-10; MSC.1/Circ.1343 on Guidelines for the information to be included in a Ship Construction File</p>
	<p><b>Intact stability booklet</b> Every passenger ship regardless of size and every cargo ship of 24 metres and over shall be inclined on completion and the elements of their stability determined. The master shall be supplied with a Stability Booklet containing such information as is necessary to enable him, by rapid and simple procedures, to obtain accurate guidance as to the stability of the ship under varying conditions of service. For bulk carriers, the information required in a bulk carrier booklet may be contained in the stability booklet.</p>	<p>SOLAS 1974, regulations II-1/5 and II-1/5-1; LL Convention; 1988 LL Protocol, regulation 10</p>
	<p><b>Damage control plans and booklets</b> On passenger and cargo ships, there shall be permanently exhibited plans showing clearly for each deck and hold the boundaries of the watertight compartments, the openings therein with the means of closure and position of any controls thereof, and the arrangements for the correction of any list due to flooding. Booklets containing the aforementioned information shall be made available to the officers of the ship.</p>	<p>SOLAS 1974, regulation II-1/19; MSC.1/Circ.1245</p>
	<p><b>Minimum safe manning document</b> Every ship to which chapter I of the Convention applies shall be provided with an appropriate safe manning document or equivalent issued by the Administration as evidence of the minimum safe manning.</p>	<p>SOLAS 1974, regulation V/14.2</p>

No.	Contents	Reference
	<p><b>Fire safety training manual</b> A training manual shall be written in the working language of the ship and shall be provided in each crew mess room and recreation room or in each crew cabin. The manual shall contain the instructions and information required in regulation II-2/15.2.3.4. Part of such information may be provided in the form of audio-visual aids in lieu of the manual.</p>	SOLAS 1974, regulation II-2/15.2.3
	<p><b>Fire Control plan/booklet</b> General arrangement plans shall be permanently exhibited for the guidance of the ship's officers, showing clearly for each deck the control stations, the various fire sections together with particulars of the fire detection and fire alarm systems and the fire-extinguishing appliances, etc. Alternatively, at the discretion of the Administration, the aforementioned details may be set out in a booklet, a copy of which shall be supplied to each officer, and one copy shall at all times be available on board in an accessible position. Plans and booklets shall be kept up to date; any alterations shall be recorded as soon as practicable. A duplicate set of fire control plans or a booklet containing such plans shall be permanently stored in a prominently marked weathertight enclosure outside the deckhouse for the assistance of shore-side fire-fighting personnel.</p>	SOLAS 1974, regulations II-2/15.2.4 and II-2/15.3.2
	<p><b>Onboard training and drills record</b> Fire drills shall be conducted and recorded in accordance with the provisions of regulations III/19.3 and III/19.5.</p>	SOLAS 1974, regulation II-2/15.2.2.5
	<p><b>Fire safety operational booklet</b> The fire safety operational booklet shall contain the necessary information and instructions for the safe operation of the ship and cargo handling operations in relation to fire safety. The booklet shall be written in the working language of the ship and be provided in each crew mess room and recreation room or in each crew cabin. The booklet may be combined with the fire safety training manuals required in regulation II-2/15.2.3.</p>	SOLAS 1974, regulation II-2/16.2
	<p><b>Maintenance Plans</b> The maintenance plan shall include the necessary information about fire protection systems and fire-fighting systems and appliances as required under regulation II-2/14.2.2. For tankers, additional requirements are referred to in regulation II-2/14.4.</p>	SOLAS 1974, regulations II-2/14.2.2 and II-2/14.4

No.	Contents	Reference
	<p><b>Training manual</b> The training manual, which may comprise several volumes, shall contain instructions and information, in easily understood terms illustrated wherever possible, on the life-saving appliances provided in the ship and on the best methods of survival. Any part of such information may be provided in the form of audio-visual aids in lieu of the manual.</p>	SOLAS 1974, regulation III/35
	<p><b>Nautical charts and nautical publications</b> Nautical charts and nautical publications for the intended voyage shall be adequate and up to date. An electronic chart display and information system (ECDIS) is also accepted as meeting the chart carriage requirements of this subparagraph.</p>	SOLAS 1974, regulations V/19.2.1.4 and V/27
	<p><b>International Code of Signals and a copy of Volume III of IAMSAR Manual</b> All ships required to carry a radio installation shall carry the International Code of Signal; all ships shall carry an up-to-date copy of Volume III of the International Aeronautical and Maritime Search and Rescue (IAMSAR) Manual.</p>	SOLAS 1974, regulation V/21
	<p><b>Records of navigational activities</b> All ships engaged on international voyages shall keep on board a record of navigational activities and incidents including drills and pre-departure tests. When such information is not maintained in the ship's logbook, it shall be maintained in another form approved by the Administration.</p>	SOLAS 1974, regulations V/26 and V/28.1
	<p><b>Manoeuvring booklet</b> The stopping times, ship headings and distances recorded on trials, together with the results of trials to determine the ability of ships having multiple propellers to navigate and manoeuvre with one or more propellers inoperative, shall be available on board for the use of the master or designated personnel.</p>	SOLAS 1974, regulation II-1/28
	<p><b>Material Safety Data Sheets (MSDs)</b> Ships carrying oil or oil fuel, as defined in regulation 1 of Annex 1 of the International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 relating thereto, shall be provided with material safety data sheets, based on the recommendations developed by the Organization, prior to the loading of such oil as cargo in bulk or bunkering of oil fuel.</p>	SOLAS 1974, regulation VI/5-1; Resolution MSC.286(86)

No.	Contents	Reference
	<p><b>AIS test report</b> The Automatic Identification System (AIS) shall be subjected to an annual test by an approved surveyor or an approved testing or servicing facility. A copy of the test report shall be retained on board and should be in accordance with a model form set out in the annex to MSC.1/Circ.1252.</p>	<p>SOLAS 1974, regulation V/18.9; MSC.1/Circ.1252</p>
	<p><b>Certificates for masters, officers or ratings</b> Certificates for masters, officers or ratings shall be issued to those candidates who, to the satisfaction of the Administration, meet the requirements for service, age, medical fitness, training, qualifications and examinations in accordance with the provisions of the STCW Code annexed to the International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978. Formats of certificates are given in section A-I/2 of the STCW Code. Certificates must be kept available in their original form on board the ships on which the holder is serving.</p>	<p>STCW 1978, article VI, regulation I/2; STCW Code, section A-I/2</p>
	<p><b>Records of hours of rest</b> Records of daily hours of rest of seafarers shall be maintained on board .</p>	<p>STCW Code, section A-VIII/1; Maritime Labour Convention, 2006; Seafarers' Hours of Work and the Manning of Ships Convention, 1996 (No.180); IMO/ILO Guidelines for the development of tables of seafarers' shipboard working arrangements and formats of records of seafarers' hours of work or hours of rest</p> <p><i>Note: Maritime Labour Convention, 2006 shall come into force on 20/08/2013.</i></p>



No.	Contents	Reference
	<p><b>International Oil Pollution Prevention Certificate</b> An international Oil Pollution Prevention Certificate shall be issued, after survey in accordance with regulation 6 of Annex I of MARPOL, to any oil tanker of 150 gross tonnage and above and any other ship of 400 gross tonnage and above which is engaged in voyages to ports or offshore terminals under the jurisdiction of other Parties to MARPOL . The certificate is supplemented with a Record of Construction and Equipment for Ships other than Oil Tankers (Form A) or a Record of Construction and Equipment for Oil Tankers (Form B), as appropriate.</p>	<p>MARPOL Annex I, regulation 7</p>
	<p><b>Oil Record Book</b> Every oil tanker of 150 gross tonnage and above and every ship of 400 gross tonnage and above other than an oil tanker shall be provided with an Oil Record Book, Part I (Machinery space operations). Every oil tanker of 150 gross tonnage and above shall also be provided with an Oil Record Book, Part II (Cargo/ballast operations).</p>	<p>MARPOL Annex I, regulations 17 and 36</p>
	<p><b>Shipboard Oil Pollution Emergency Plan</b> Every oil tanker of 150 gross tonnage and above and every ship other than an oil tanker of 400 gross tonnage and above shall carry on board a Shipboard Oil Pollution Emergency Plan approved by the Administration.</p>	<p>MARPOL Annex I, regulation 37; resolution MEPC.54(32) as amended by resolution MEPC.86(44)</p>
	<p><b>International Sewage Pollution Prevention Certificate</b> An International Sewage Pollution Prevention Certificate shall be issued, after an initial or renewal survey in accordance with the provisions of regulation 4 of Annex IV of MARPOL, to any ship which is required to comply with the provisions of that Annex and is engaged in voyages to ports or offshore terminals under the jurisdiction of other Parties to the Convention.</p>	<p>MARPOL Annex IV, regulation 5; MEPC/Circ.408</p>
	<p><b>Garbage Management Plan</b> Every ship of 100 gross tonnage and above and every ship which is certified to carry 15 persons or more shall carry a garbage management plan which the crew shall follow.</p>	<p>MARPOL Annex V, regulation 10 resolution MEPC.71(38) MEPC/Circ.317</p>

No.	Contents	Reference
	<p><b>Garbage Record Book</b> Every ship of 400 gross tonnage and above and every ship which is certified to carry 15 persons or more engaged in voyages to ports or offshore terminals under the jurisdiction of other Parties to the Convention and every fixed and floating platform engaged in exploration and exploitation of the seabed shall be provided with a Garbage Record Book.</p>	<p>MARPOL Annex V, regulation 9 10</p>
	<p><b>Voyage data recorder system-certificate of compliance</b> The voyage data recorder system, including all sensors, shall be subjected to an annual performance test. The test shall be conducted by an approved testing or servicing facility to verify the accuracy, duration and recoverability of the recorded data. In addition, tests and inspections shall be conducted to determine the serviceability of all protective enclosures and devices fitted to aid location. A copy of the certificate of compliance issued by the testing facility, stating the date of compliance and the applicable performance standards, shall be retained on board the ship.</p>	<p>SOLAS 1974 regulation V/18.8</p>
	<p><b>Cargo Securing Manual</b> All cargoes other than solid and liquid bulk cargoes, cargo units and cargo transport units, shall be loaded, stowed and secured throughout the voyage in accordance with the Cargo Securing Manual approved by the Administration. In ships with ro-ro spaces, as defined in regulation II-2/3.41, all securing of such cargoes, cargo units and cargo transport units, in accordance with the Cargo Securing Manual, shall be completed before the ship leaves the berth. The Cargo Securing Manual is required on all types of ships engaged in the carriage of all cargoes other than solid and liquid bulk cargoes, which shall be drawn up to a standard at least equivalent to the guidelines developed by the Organization.</p>	<p>SOLAS 1974, regulations VI/5.6 and VII/5; MSC.1/Circ.1353</p>
	<p><b>Document of Compliance</b> A document of compliance shall be issued to every company which complies with the requirements of the ISM Code. A copy of the document shall be kept on board.</p>	<p>SOLAS 1974, regulation IX/4; ISM Code, paragraph 13</p>
	<p><b>Safety Management Certificate</b> A Safety Management Certificate shall be issued to every ship by the Administration or an organization recognized by the Administration. The Administration or an organization recognized by it shall, before issuing the Safety Management Certificate, verify that the company and its shipboard management operate in accordance with the approved safety management system.</p>	<p>SOLAS 1974, regulation IX/4; ISM Code, paragraph 13</p>

No.	Contents	Reference
	<p><b>International Ship Security Certificate (ISSC) or Interim International Ship Security Certificate</b> An International Ship Security Certificate (ISSC) shall be issued to every ship by the Administration or an organization recognized by it to verify that the ship complies with the maritime security provisions of SOLAS chapter XI-2 and part A of the ISPS Code. An interim ISSC may be issued under the ISPS Code part A, section 19.4.</p>	<p>SOLAS 1974, regulation XI-2/9.1.1; ISPS Code part A, section 19 and appendices.</p>
	<p><b>Ship Security Plan and associated records</b> Each ship shall carry on board a ship security plan approved by the Administration. The plan shall make provisions for the three security levels as defined in part A of the ISPS Code. Records of the following activities addressed in the ship security plan shall be kept on board for at least the minimum period specified by the Administration:</p> <ul style="list-style-type: none"> <li>.1 training, drills and exercises;</li> <li>.2 security threats and security incidents;</li> <li>.3 breaches of security;</li> <li>.4 changes in security level;</li> <li>.5 communications relating to the direct security of the ship such as specific threats to the ship or to port facilities the ship is, or has been, in;</li> <li>.6 internal audits and reviews of security activities;</li> <li>.7 periodic review of the ship security assessment;</li> <li>.8 periodic review of the ship security plan;</li> <li>.9 implementation of any amendments to the plan; and</li> <li>.10 maintenance, calibration and testing of any security equipment provided on board, including testing of the ship security alert system.</li> </ul>	<p>SOLAS 1974, regulation XI-2/9; ISPS Code part A, sections 9 and 10</p>
	<p><b>Continuous Synopsis Record (CSR)</b> Every ship to which chapter I of the Convention applies shall be issued with a Continuous Synopsis Record. The Continuous Synopsis Record provides an onboard record of the history of the ship with respect to the information recorded therein.</p>	<p>SOLAS 1974, regulation XI-1/5</p>
	<p><b>International Anti-fouling System Certificate</b> Ships of 400 GT and above engaged in international voyages, excluding fixed or floating platforms, FSUs, and FPSOs, shall be issued after inspection and survey an international Anti-fouling System Certificate together with a Record of Anti-fouling Systems.</p>	<p>AFS Convention regulation 2(1) of annex 4</p>

No.	Contents	Reference
	<p><b>Declaration on Anti-fouling System</b> Ships of 24 m or more in length, but less than 400 GT engaged in international voyages, excluding fixed or floating platforms, FSUs, and FPSOs, shall carry a Declaration signed by the owner or owner's authorized agents. Such Declaration shall be accompanied by appropriate documentation (such as a paint receipt or a contractor invoice) or contain appropriate endorsement.</p>	AFS Convention regulation 5(1) of annex 4
	<p><b>International Air Pollution Prevention Certificate</b> Ships constructed before the date of entry into force of the Protocol of 1997 shall be issued with an International Air Pollution Prevention Certificate. Any ship of 400 gross tonnage and above engaged in voyages to ports or offshore terminals under the jurisdiction of other Parties and platforms and drilling rigs engaged in voyages to waters under the sovereignty or jurisdiction of other Parties to the Protocol of 1997 shall be issued with an International Air Pollution Prevention Certificate.</p>	MARPOL Annex VI, regulation 6
	<p><b>International Energy Efficiency Certificate</b> An International Energy Efficiency Certificate for the ship shall be issued after a survey in accordance with the provisions of regulation 5.4 to any ships of 400 gross tonnage and above before that ship may engage in voyages to ports or offshore terminals under the jurisdiction of other Parties.</p>	MARPOL Annex VI, regulation 6
	<p><b>Ozone Depleting Substances Record Book</b> Each ship subject to MARPOL Annex VI/reg.6.1 that has rechargeable systems that contain ozone-depleting substances shall maintain an ozone-depleting substances record book.</p>	MARPOL Annex VI, regulation 12.6
	<p><b>Fuel Oil Changeover Procedure and Log-Book (record of fuel changeover)</b> Those ships using separate fuel oils to comply with MARPOL Annex VI regulation 14.3 and entering or leaving an emission control area shall carry a written procedure showing how the fuel oil changeover is to be done. The volume of low sulphur fuel oils in each tank as well as the date, time and position of the ship when any fuel oil changeover operation is completed prior to the entry into an emission control area or commenced after exit from such an area shall be recorded in such logbook as prescribed by the Administration.</p>	MARPOL Annex VI, regulation 14.6

No.	Contents	Reference
	<b>Manufacturer's Operating Manual for Incinerators</b> Incinerators installed in accordance with the requirements of MARPOL Annex VI regulation 16.6.1 shall be provided with a Manufacturer's Operating Manual, which is to be retained with the unit.	MARPOL Annex VI, regulation 16.7
	<b>Bunker Delivery Note and Representative Sample</b> Bunker Delivery Note and representative sample of the fuel oil delivered shall be kept on board in accordance with requirements of MARPOL Annex VI regulations 18.6 and 18.8.1.	MARPOL Annex VI, regulations 18.6 and 18.8.1
	<b>Ship Energy Efficiency Management Plan (SEEMP)</b> All ships of 400 gross tonnage and above, excluding platforms (including FPSOs and FSUs) and drilling rigs, regardless of their propulsion, shall keep on board a ship specific Ship Energy Efficiency Management Plan (SEEMP). This may form part of the ship's Safety management System (SMS).	MARPOL Annex VI, regulation 22 MEPC.1/Circ.795
	<b>EEDI Technical File</b> Applicable to ships falling into one or more of categories in MARPOL Annex VI regulations 2.25 to 2.35.	MARPOL Annex VI, Regulation 20
	<b>Technical File</b> Every marine diesel engine installed on board a ship shall be provided with a Technical File. The Technical File shall be prepared by the applicant for engine certification and approved by the Administration, and is required to accompany an engine throughout its life on board ships. The Technical File shall contain the information as specified in paragraph 2.4.1 of the NO <sub>x</sub> Technical Code.	NO <sub>x</sub> Technical Code, paragraph 2.3.4
	<b>Record Book of Engine Parameters</b> Where the Engine Parameter Check method in accordance with paragraph 6.2 of the NO <sub>x</sub> Technical Code is used to verify compliance, if any adjustments or modifications are made to an engine after its pre-certification, a full record of such adjustments or modifications shall be recorded in the engine's Record Book of Engine Parameters.	NO <sub>x</sub> Technical Code, paragraph 2.3.7
	<b>Exemption Certificate<sup>1</sup></b> When an exemption is granted to a ship under and in accordance with the provisions of SOLAS 1974, a certificate called an Exemption Certificate shall be issued in addition to the certificates listed above.	SOLAS 1974, regulation I/12; 1988 SOLAS Protocol, regulation I/12

<sup>1</sup> SLS.14/Circ.115, Add.1, Add.2 and Add.3 refer to the issue of exemption certificate.

No.	Contents	Reference
	<p><b>LRIT conformance test report</b> A Conformance test report should be issued, on satisfactory completion of a conformance test, by the Administration or the ASP who conducted the test acting on behalf of the Administration and should be in accordance with the model set out in appendix 2 of MSC.1/Circ.1307.</p>	SOLAS 1974, regulation V/19-1; MSC.1/Circ.1307
	<p><b>Noise Survey Report</b> Applicable to new ships of 1600 gross tonnage and above, excluding dynamically supported crafts, high-speed crafts, fishing vessels, pipe-laying barges, crane barges, mobile offshore drilling units, pleasure yachts not engaged in trade, ships of war and troopships, ships not propelled by mechanical means, pile driving vessels and dredgers.</p> <p>A noise survey report shall always be carried on board and be accessible for the crew.</p> <p>For existing ships, refer to section "Other certificates and documents which are not mandatory – Noise Survey Report" (resolution A.468(XII)).</p>	<p>SOLAS 1974, regulation II-1/3-12; Code on noise levels on board ships, section 4.3</p> <p><i>Note: The above mandatory requirements are expected entry into force on 1/7/2014</i></p>
	<p><b>Ship-specific Plans and Procedures for Recovery of Persons from the Water</b> All ships shall have ship-specific plans and procedures for recovery of persons from the water. Ships constructed before 1 July 2014 shall comply with this requirement by the first periodical or renewal safety equipment survey of the ship to be carried out after 1 July 2014, whichever comes first.</p> <p>Ro-ro passenger ships which comply with regulation III/26.4 shall be deemed to comply with this regulation.</p> <p>The Plans and Procedures should be considered as a part of the emergency preparedness plan required by paragraph 8 of the ISM Code.</p>	<p>SOLAS 1974 regulation, III/17-1; Resolution MSC.346(91); MSC.1/Circ.1447</p> <p><i>Note: The above mandatory requirements are expected entry into force on 1/7/2014</i></p>
2	<p><b>In addition to the certificates listed in section 1 above, passenger ships shall carry:</b></p>	
	<p><b>Passenger Ship Safety Certificate</b> A certificate called a Passenger Ship Safety Certificate shall be issued after inspection and survey to a passenger ship which complies with the requirements of chapters II-1, II-2, III, IV and V and any other relevant requirements of SOLAS 1974. A Record of Equipment for the Passenger Ship Safety Certificate (Form P) shall be permanently attached.</p>	SOLAS 1974, regulation I/12; 1988 SOLAS Protocol, regulation I/12,

No.	Contents	Reference
	<p><b>Special Trade Passenger Ship Safety Certificate, Special Trade Passenger Ship Space Certificate</b>  A Special Trade Passenger Ship Safety Certificate issued under the provisions of the Special Trade Passenger Ships Agreement, 1971.  A certificate called a Special Trade Passenger Ship Space Certificate shall be issued under the provisions of the Protocol on Space Requirements for Special Trade Passenger Ships, 1973.</p>	<p>STP 71, rule 5</p> <p>SSTP 73, rule 5</p>
	<p><b>Search and rescue cooperation plan</b>  Passenger ships to which chapter I of the Convention applies shall have on board a plan for cooperation with appropriate search and rescue services in event of an emergency.</p>	<p>SOLAS 1974, regulation V/7.3</p>
	<p><b>List of operational limitations</b>  Passenger ships to which chapter I of the Convention applies shall keep on board a list of all limitations on the operation of the ship, including exemptions from any of the SOLAS, regulations, restrictions in operating areas, weather restrictions, sea state restrictions, restrictions in permissible loads, trim, speed and any other limitations, whether imposed by the Administration or established during the design or the building stages.</p>	<p>SOLAS 1974, regulation V/30</p>
	<p><b>Decision support system for masters</b>  In all passenger ships, a decision support system for emergency management shall be provided on the navigation bridge.</p>	<p>SOLAS 1974, regulation III/29</p>
<p><b>3</b></p>	<p><b>In addition to the certificates listed in section 1 above, cargo ships shall carry:</b></p>	
	<p><b>Cargo Ship Safety Construction Certificate</b>  A certificate called a Cargo Ship Safety Construction Certificate shall be issued after survey to a cargo ship of 500 gross tonnage and over which satisfies the requirements for cargo ships on survey, set out in regulation I/10 of SOLAS 1974, and complies with the applicable requirements of chapters II-1 and II-2, other than those relating to fire-extinguishing appliances and fire control plans.</p>	<p>SOLAS 1974, regulation I/12;  1988 SOLAS Protocol, regulation I/12</p>

No.	Contents	Reference
	<p><b>Cargo Ship Safety Equipment Certificate</b> A certificate called a Cargo Ship Safety Equipment Certificate shall be issued after survey to a cargo ship of 500 gross tonnage and over which complies with the relevant requirements of chapters II-1 and II-2, III and V and any other relevant requirements of SOLAS 1974. A Record of Equipment for the Cargo Ship Safety Equipment Certificate (Form E) shall be permanently attached.</p>	<p>SOLAS 1974, regulation I/12; 1988 SOLAS Protocol, regulation I/12</p>
	<p><b>Cargo Ship Safety Radio Certificate</b> A certificate called a Cargo Ship Safety Radio Certificate shall be issued after survey to a cargo ship of 300 gross tonnage and over, fitted with a radio installation, including those used in life-saving appliances, which complies with the requirements of chapter IV and any other relevant requirements of SOLAS 1974. A Record of Equipment for the Cargo Ship Safety Radio Certificate (Form R) shall be permanently attached.</p>	<p>SOLAS 1974, regulation I/12, as amended by the GMDSS amendments; 1988 SOLAS Protocol, regulation I/12</p>
	<p><b>Cargo Ship Safety Certificate</b> A certificate called a Cargo Ship Safety Certificate may be issued after survey to a cargo ship which complies with the relevant requirements of chapters II-1, II-2, III, IV and V and other relevant requirements of SOLAS 1974 as modified by the 1988 SOLAS Protocol, as an alternative to the Cargo Ship Safety Construction Certificate, Cargo Ship Safety Equipment Certificate and Cargo Ship Safety Radio Certificate. A Record of Equipment for the Cargo Ship Safety Certificate (Form C) shall be permanently attached.</p>	<p>1988 SOLAS Protocol, regulation I/12</p>
	<p><b>Document of authorization for the carriage of grain</b> A document of authorization shall be issued for every ship loaded in accordance with the regulations of the International Code for the Safe Carriage of Grain in Bulk. The document shall accompany or be incorporated into the grain loading manual provided to enable the master to meet the stability requirements of the Code.</p>	<p>SOLAS 1974, regulation VI/9; International Code for the Safe Carriage of Grain in Bulk, section 3</p>
	<p><b>Certificate of insurance or other financial security in respect of civil liability for oil pollution damage</b> A certificate attesting that insurance or other financial security is in force shall be issued to each ship carrying more than 2,000 tons of oil in bulk as cargo. It shall be issued or certified by the appropriate authority of the State of the ship's registry after determining that the requirements of article VII, paragraph 1, of the CLC Convention have been complied with.</p>	<p>CLC 1969, article VII</p>



No.	Contents	Reference
	<p><b>Certificate of insurance or other financial security in respect of civil liability for bunker oil pollution damage</b>            Certificate attesting that insurance or other financial security is in force in accordance with the provisions of this Convention shall be issued to each ship of greater than 1,000 GT after the appropriate authority of a State Party has determined that the requirements of article 7, paragraph 1 have been complied with. With respect to a ship registered in a State Party such certificate shall be issued or certified by the appropriate authority of the State of the ship's registry; with respect to a ship not registered in a State Party it may be issued or certified by the appropriate authority of any State Party. A State Party may authorize either an institution or an organization recognized by it to issue the certificate referred to in paragraph 2.</p>	<p>Bunker Convention 2001, article 7</p>
	<p><b>Certificate of insurance or other financial security in respect of civil liability for oil pollution damage</b>            A certificate attesting that insurance or other financial security is in force in accordance with the provisions of the 1992 CLC Convention shall be issued to each ship carrying more than 2,000 tons of oil in bulk as cargo after the appropriate authority of a Contracting State has determined that the requirements of article VII, paragraph 1, of the Convention have been complied with. With respect to a ship registered in a Contracting State, such certificate shall be issued by the appropriate authority of the State of the ship's registry; with respect to a ship not registered in a Contracting State, it may be issued or certified by the appropriate authority of any Contracting State.</p>	<p>CLC 1992, article VII</p>
	<p><b>Enhanced survey report file</b>            Bulk carriers and oil tankers shall have a survey report file and supporting documents complying with paragraphs 6.2 and 6.3 of annex A and annex B of resolution A.744(18) – Guidelines on the enhanced programme of inspections during surveys of bulk carriers and oil tankers.</p> <p><i>Note: refer to requirements of survey report file and supporting documents for bulk carriers and oil tankers as referred in paragraphs 6.2 and 6.3 of annex A/annex B, part A/part B, 2011 ESP Code.</i></p>	<p>SOLAS 1974, regulation XI-1/2; resolution A.744(18)</p> <p><i>Note: 2011 ESP Code is expected to come into force on 1/1/2014 and to supersede resolution A.744(18)</i></p>

No.	Contents	Reference
	<p><b>Record of oil discharge monitoring and control system for the last ballast voyage</b></p> <p>Subject to the provisions of paragraphs 4 and 5 of regulation 3 of MARPOL Annex I, every oil tanker of 150 gross tonnage and above shall be equipped with an oil discharge monitoring and control system approved by the Administration. The system shall be fitted with a recording device to provide a continuous record of the discharge in litres per nautical mile and total quantity discharged, or the oil content and rate of discharge. The record shall be identifiable as to time and date and shall be kept for at least three years.</p>	<p>MARPOL Annex I, regulation 31</p>
	<p><b>Oil Discharge Monitoring and Control (ODMC) Operational Manual</b></p> <p>Every oil tanker fitted with an Oil Discharge Monitoring and Control system shall be provided with instructions as to the operation of the system in accordance with an operational manual approved by the Administration.</p>	<p>MARPOL Annex I, regulation 31; resolution A.496(XII); resolution A.586(14); resolution MEPC.108(49)</p>
	<p><b>Cargo Information</b></p> <p>The shipper shall provide the master or his representative with appropriate information, confirmed in writing, on the cargo, in advance of loading. In bulk carriers, the density of the cargo shall be provided in the above information.</p>	<p>SOLAS 1974, regulations VI/2 and XII/10; MSC/Circ.663</p>
	<p><b>Ship Structure Access Manual</b></p> <p>This regulation applies to oil tankers of 500 gross tonnage and over and bulk carriers, as defined in regulation IX/1, of 20,000 gross tonnage and over, constructed on or after 1 January 2006. A ship's means of access to carry out overall and close-up inspections and thickness measurements shall be described in a Ship structure access manual approved by the Administration, an updated copy of which shall be kept on board.</p>	<p>SOLAS 1974, regulation II-1/3-6</p>
	<p><b>Bulk Carrier Booklet</b></p> <p>To enable the master to prevent excessive stress in the ship's structure, the ship loading and unloading solid bulk cargoes shall be provided with a booklet referred to in SOLAS regulation VI/7.2. The booklet shall be endorsed by the Administration or on its behalf to indicate that SOLAS regulations XII/4, 5, 6 and 7, as appropriate, are complied with. As an alternative to a separate booklet, the required information may be contained in the intact stability booklet.</p>	<p>SOLAS 1974, regulations VI/7 and XII/8; Code of Practice for the Safe Loading and Unloading of Bulk Carriers (BLU Code)</p>

No.	Contents	Reference
	<p><b>Crude Oil Washing Operation and Equipment Manual (COW Manual)</b> Every oil tanker operating with crude oil washing systems shall be provided with an Operations and Equipment Manual detailing the system and equipment and specifying operational procedures. Such a Manual shall be to the satisfaction of the Administration and shall contain all the information set out in the specifications referred to in regulation 35 of Annex I of MARPOL.</p>	<p>MARPOL Annex I, regulation 35; resolution MEPC.81(43)</p>
	<p><b>Condition Assessment Scheme (CAS) Statement of Compliance, CAS Final Report and Review Record</b> A Statement of Compliance shall be issued by the Administration to every oil tanker which has been surveyed in accordance with the requirements of the Condition Assessment Scheme (CAS) and found to be in compliance with these requirements. In addition, a copy of the CAS Final Report which was reviewed by the Administration for the issue of the Statement of Compliance and a copy of the relevant Review Record shall be placed on board to accompany the Statement of Compliance.</p>	<p>MARPOL Annex I regulations 20 and 21; resolution MEPC.94(46); resolution MEPC.99(48); resolution MEPC.112(50); resolution MEPC.131(53); resolution MEPC.155(55)</p>
	<p><b>Subdivision and stability information</b> Every oil tanker to which regulation 28 of Annex I of MARPOL applies shall be provided in an approved form with information relative to loading and distribution of cargo necessary to ensure compliance with the provisions of this regulation and data on the ability of the ship to comply with damage stability criteria as determined by this regulation.</p>	<p>MARPOL Annex I, regulation 28</p>
	<p><b>STS Operation Plan and Records of STS Operations</b> Any oil tanker involved in STS operations shall carry on board a plan prescribing how to conduct STS operations (STS operations Plan) not later than the date of the first annual, intermediate or renewal survey of the ship to be carried out on or after 1 January 2011. Each oil tanker's STS operations plan shall be approved by the Administration. The STS operations plan shall be written in the working language of the ship.</p> <p>Records of STS operations shall be retained on board for three years and be readily available for inspection.</p>	<p>MARPOL Annex I, regulation 41</p>
	<p><b>VOC Management Plan</b> A tanker carrying crude oil, to which MARPOL Annex VI regulation 15.1 applies, shall have on board and implement a VOC Management Plan.</p>	<p>MARPOL Annex VI, regulation 15.6</p>

No.	Contents	Reference
4	<b>In addition to the certificates listed in sections 1 and 3 above, where appropriate, any ship carrying noxious liquid chemical substances in bulk shall carry:</b>	
	<b>International Pollution Prevention Certificate for the Carriage of Noxious Liquid Substances in Bulk (NLS Certificate)</b> An international pollution prevention certificate for the carriage of noxious liquid substances in bulk (NLS certificate) shall be issued, after survey in accordance with the provisions of regulation 8 of Annex II of MARPOL, to any ship carrying noxious liquid substances in bulk and which is engaged in voyages to ports or terminals under the jurisdiction of other Parties to MARPOL. In respect of chemical tankers, the Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk and the International Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk, issued under the provisions of the Bulk Chemical Code and International Bulk Chemical Code, respectively, shall have the same force and receive the same recognition as the NLS certificate.	MARPOL, Annex II, regulation 8
	<b>Cargo record book</b> Ships carrying noxious liquid substances in bulk shall be provided with a Cargo Record Book, whether as part of the ship's official log book or otherwise, in the form specified in appendix II to Annex II.	MARPOL Annex II, regulation 15.2
	<b>Procedures and Arrangements Manual (P &amp; A Manual)</b> Every ship certified to carry noxious liquid substances in bulk shall have on board a Procedures and Arrangements Manual approved by the Administration.	MARPOL Annex II, regulation 14; resolution MEPC.18(22),
	<b>Shipboard Marine Pollution Emergency Plan for Noxious Liquid Substances</b> Every ship of 150 gross tonnage and above certified to carry noxious liquid substances in bulk shall carry on board a shipboard marine pollution emergency plan for noxious liquid substances approved by the Administration.	MARPOL Annex II, regulation 17

No.	Contents	Reference
5	<b>In addition to the certificates listed in sections 1 and 3 above, where applicable, any chemical tanker shall carry:</b>	
	<p><b>Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk</b></p> <p>A certificate called a Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk, the model form of which is set out in the appendix to the Bulk Chemical Code, should be issued after an initial or periodical survey to a chemical tanker engaged in international voyages which complies with the relevant requirements of the Code.</p> <p><i>Note: The Code is mandatory under Annex II of MARPOL for chemical tankers constructed before 1 July 1986.</i></p> <p><b>or</b></p>	<p>BCH Code, section 1.6; BCH Code as modified by resolution MSC.18(58), section 1.6</p>
	<p><b>International Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk</b></p> <p>A certificate called an International Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk, the model form of which is set out in the appendix to the International Bulk Chemical Code, should be issued after an initial or periodical survey to a chemical tanker engaged in international voyages which complies with the relevant requirements of the Code.</p> <p><i>Note: The Code is mandatory under both chapter VII of SOLAS 1974 and Annex II of MARPOL for chemical tankers constructed on or after 1 July 1986.</i></p>	<p>IBC Code, section 1.5; IBC Code as modified by resolutions MSC.16(58) and MEPC.40(29), section 1.5</p>
6	<b>In addition to the certificates listed in sections 1 and 3 above, where applicable, any gas carrier shall carry:</b>	
	<p><b>Certificate of Fitness for the Carriage of Liquefied Gases in Bulk</b></p> <p>A certificate called a Certificate of Fitness for the Carriage of Liquefied Gases in Bulk, the model form of which is set out in the appendix to the Gas Carrier Code, should be issued after an initial or periodical survey to a gas carrier which complies with the relevant requirements of the Code.</p>	<p>GC Code, section 1.6</p>

No.	Contents	Reference
	<p><b>International Certificate of Fitness for the Carriage of Liquefied Gases in Bulk</b></p> <p>A certificate called an International Certificate of Fitness for the Carriage of Liquefied Gases in Bulk, the model form of which is set out in the appendix to the International Gas Carrier Code, should be issued after an initial or periodical survey to a gas carrier which complies with the relevant requirements of the Code.</p> <p><i>Note: The Code is mandatory under chapter VII of SOLAS 1974 for gas carriers constructed on or after 1 July 1986.</i></p>	<p>IGC Code, section 1.5; IGC Code as modified by resolution MSC.17(58), section 1.5</p>
7	<p><b>In addition to the certificates listed in sections 1, and 2 or 3 above, where applicable, any high-speed craft shall carry:</b></p>	
	<p><b>High-Speed Craft Safety Certificate</b></p> <p>A certificate called a High-Speed Craft Safety Certificate shall be issued after completion of an initial or renewal survey to a craft which complies with the requirements of the 1994 HSC Code or the 2000 HSC Code, as appropriate.</p>	<p>SOLAS 1974, regulation X/3; 1994 HSC Code, section 1.8; 2000 HSC Code, section 1.8</p>
	<p><b>Permit to Operate High-Speed Craft</b></p> <p>A certificate called a Permit to Operate High-Speed Craft shall be issued to a craft which complies with the requirements set out in paragraphs 1.2.2 to 1.2.7 of the 1994 HSC Code or the 2000 HSC Code, as appropriate.</p>	<p>1994 HSC Code, section 1.9; 2000 HSC Code, section 1.9</p>
8	<p><b>In addition to the certificates listed in sections 1, and 2 or 3 above, where applicable, any ship carrying dangerous goods shall carry:</b></p>	
	<p><b>Document of compliance with the special requirements for ships carrying dangerous goods</b></p> <p>The Administration shall provide the ship with an appropriate document as evidence of compliance of construction and equipment with the requirements of regulation II-2/19 of SOLAS 1974. Certification for dangerous goods, except solid dangerous goods in bulk, is not required for those cargoes specified as class 6.2 and 7 and dangerous goods in limited quantities.</p>	<p>SOLAS 1974, regulation II-2/19.4</p>

No.	Contents	Reference
9	<b>In addition to the certificates listed in sections 1, and 2 or 3 above, where applicable, any ship carrying dangerous goods in packaged form shall carry:</b>	
	<b>Dangerous goods manifest or stowage plan</b> Each ship carrying dangerous goods in packaged form shall have a special list or manifest setting forth, in accordance with the classification set out in the IMDG Code, the dangerous goods on board and the location thereof. Each ship carrying dangerous goods in solid form in bulk shall have a list or manifest setting forth the dangerous goods on board and the location thereof. A detailed stowage plan, which identifies by class and sets out the location of all dangerous goods on board, may be used in place of such a special list or manifest. A copy of one of these documents shall be made available before departure to the person or organization designated by the port State authority.	SOLAS 1974, regulations VII/4.5 and VII/7-2; MARPOL Annex III, regulation 4
10	<b>In addition to the certificates listed in sections 1, and 2 or 3 above, where applicable, any ship carrying INF cargo shall carry:</b>	
	<b>International Certificate of Fitness for the Carriage of INF Cargo</b> A ship carrying INF cargo shall comply with the requirements of the International Code for the Safe Carriage of Packaged Irradiated Nuclear Fuel, Plutonium and High-Level Radioactive Wastes on board Ships (INF Code) in addition to any other applicable requirements of the SOLAS regulations and shall be surveyed and be provided with the International Certificate of Fitness for the Carriage of INF Cargo.	SOLAS 1974, regulation VII/16; INF Code (resolution MSC.88(71)), paragraph 1.3
11	<b>In addition to the certificates listed in sections 1, and 2 or 3 above, where applicable, any Nuclear Ship shall carry:</b>	
	<b>A Nuclear Cargo Ship Safety Certificate or Nuclear Passenger Ship Safety Certificate, in place of the Cargo Ship Safety Certificate or Passenger Ship Safety Certificate, as appropriate.</b> Every Nuclear powered ship shall be issued with the certificate required by SOLAS chapter VIII.	SOLAS 1974, regulation VIII/10

No.	Contents	Reference
<b>Other certificates and documents which are not mandatory</b>		
<b>Special purpose ships</b>		
	<p><b>Special Purpose Ship Safety Certificate</b> In addition to SOLAS certificates as specified in paragraph 7 of the Preamble of the Code of Safety for Special Purpose Ships, a Special Purpose Ship Safety Certificate should be issued after survey in accordance with the provisions of paragraph 1.6 of the Code for Special Purpose Ships. The duration and validity of the certificate should be governed by the respective provisions for cargo ships in SOLAS 1974. If a certificate is issued for a special purpose ship of less than 500 gross tonnage, this certificate should indicate to what extent relaxations in accordance with 1.2 were accepted.</p>	<p>Resolution A.534(13) as amended by MSC/Circ.739; 2008 SPS Code (resolution MSC.266(84)), SOLAS 1974, regulation I/12; 1988 SOLAS Protocol, regulation I/12</p>
<b>Offshore support vessels</b>		
	<p><b>Offshore Supply Vessel Document of Compliance</b> The Document of Compliance should be issued after satisfied that the vessel complies with the provisions of the Guidelines for the design and construction of Offshore Supply Vessels, 2006.</p>	<p>Resolution MSC.235(82)</p>
	<p><b>Certificate of Fitness for Offshore Support Vessels</b> When carrying such cargoes, offshore support vessels should carry a Certificate of Fitness issued under the "Guidelines for the Transport and Handling of Limited Amounts of Hazardous and Noxious Liquid Substances in Bulk on Offshore Support Vessels". If an offshore support vessel carries only noxious liquid substances, a suitably endorsed International Pollution Prevention Certificate for the Carriage of Noxious Liquid Substances in Bulk may be issued instead of the above Certificate of Fitness.</p>	<p>Resolution A.673(16); MARPOL Annex II, regulation 13(4)</p>
<b>Diving systems</b>		
	<p><b>Diving System Safety Certificate</b> A certificate should be issued either by the Administration or any person or organization duly authorized by it after survey or inspection to a diving system which complies with the requirements of the Code of Safety for Diving Systems. In every case, the Administration should assume full responsibility for the certificate.</p>	<p>Resolution A.536(13), section 1.6</p>



No.	Contents	Reference
	<b>Passenger submersible craft</b>	
	<p><b>Safety Compliance Certificate for Passenger Submersible Craft</b>  Applicable to submersible craft adapted to accommodate passengers and intended for underwater excursions with the pressure in the passenger compartment at or near one atmosphere.</p> <p>A Design and Construction Document issued by the Administration should be attached to the Safety Compliance Certificate.</p>	<p>MSC/Circ.981, as amended by MSC/Circ.1125</p>
	<b>Dynamically supported craft</b>	
	<p><b>Dynamically Supported Craft Construction and Equipment Certificate</b>  To be issued after survey carried out in accordance with paragraph 1.5.1(a) of the Code of Safety for Dynamically Supported Craft.</p>	<p>Resolution A.373(X), section 1.6</p>
	<b>Mobile offshore drilling units</b>	
	<p><b>Mobile Offshore Drilling Unit Safety Certificate</b>  To be issued after survey carried out in accordance with the provisions of the Code for the Construction and Equipment of Mobile Offshore Drilling Units, 1979, or, for units constructed on or after 1 May 1991, the Code for the Construction and Equipment of Drilling Units, 1989.</p>	<p>Resolution A.414(XI), section 1.6;  resolution A.649(16) section 1.6;  resolution A.649(16) as modified by resolution MSC.38(63), section 1.6,  2009 MODU Code (resolution A.1023(26))</p>
	<b>Wing-In-Ground (WIG) Craft</b>	
	<p><b>Wing-in-ground Craft Safety Certificate</b>  A certificate called a WIG Craft Safety Certificate should be issued after completion of an initial or renewal survey to a craft, which complies with the provisions of the Interim Guidelines for WIG craft.</p>	<p>MSC/Circ.1054, section 9</p>

No.	Contents	Reference
	<b>Permit to Operate WIG Craft</b> A permit to operate should be issued by the Administration to certify compliance with the provisions of the Interim Guidelines for WIG craft.	MSC/Circ.1054, section 10
	<b>Noise levels</b>	
	<b>Noise Survey Report</b> Applicable to existing ships to which SOLAS II-1/3-12 does not apply.  A noise survey report should be made for each ship in accordance with the Code on Noise Levels on board Ships.	Resolution A.468(XII), section 4.3

\*\*\*

## **ANNEX 2**

### **DRAFT ASSEMBLY RESOLUTION**

#### **NOTIFICATION AND CIRCULATION THROUGH THE GLOBAL INTEGRATED SHIPPING INFORMATION SYSTEM (GISIS)**

THE ASSEMBLY,

RECALLING article 15(j) of the Convention on the International Maritime Organization concerning the functions of the Assembly in relation to regulations and guidelines concerning maritime safety and the prevention and control of marine pollution from ships,

RECALLING ALSO that one of the goals of the Organization is to ensure the consistent and effective implementation of IMO instruments globally and compliance with their requirements,

RECALLING FURTHER that, since 2004, the Strategic Plan for the Organization has promoted the effective use of information and communication technology and the availability of, and access to, information relating to ship safety and security and environmental protection (i.e. transparency),

RECALLING IN PARTICULAR that, by resolution A.1029(26) on the *Global Integrated Shipping Information System (GISIS)*, it recognized that GISIS aims at facilitating, inter alia, Member States' compliance with reporting requirements, and urged Member States specifically to use GISIS reporting facilities to sustain and, even, enhance compliance with mandatory reporting requirements, as contained in those mandatory instruments to which they are Parties, thereby potentially assisting them in the context of the Voluntary IMO Member State Audit Scheme,

NOTING WITH SATISFACTION that GISIS has been continuously developed and additional modules have been released since its launch in 2005 in order to allow a wider coverage of direct reporting by Member States in compliance with existing requirements,

RECOGNIZING that, to promote the implementation of mandatory IMO instruments, the effective use of information and communication technology would contribute significantly to all Member States fulfilling their obligations of mandatory reporting and the circulation of any such notification by the Organization could be achieved through the GISIS system,

RECOGNIZING ALSO the important role the system could play in respect of enhancing the rate of notification and potentially reducing the administrative burden for the Contracting Governments or Parties,

RECOGNIZING FURTHER the fact that, once the Organization has been notified through GISIS by a Contracting Government or Party, the related mandatory report would also become accessible to other Contracting Governments or Parties through GISIS, and the administrative burden of the Organization could be reduced,

HAVING CONSIDERED the recommendation made by the Marine Environment Protection Committee, at its [sixty-fifth session (13 to 17 May 2013)], and the Maritime Safety Committee, at its [ninety-second session (12 to 21 June 2013)],

1. AGREES that notification through GISIS should be considered as one effective way for Contracting Governments or Parties to IMO instruments to fulfil their reporting obligations under the various mandatory IMO instruments;
2. FURTHER AGREES that once Contracting Governments or Parties have notified through GISIS in respect of a reporting requirement to the Organization, the requirement for the Organization to circulate any such notification under the IMO instrument concerned would have been met;
3. URGES Member States to use the reporting facilities available through GISIS to fulfil their reporting obligations under the various IMO instruments and to work towards the improvement of the quality of the data being collected through GISIS by implementing comprehensive validation processes when entering data into the system; and
4. REQUESTS the Secretary-General to continue developing the system, particularly its modules related to mandatory reporting requirements, in close cooperation with Member States, IMO organs, international organizations and all other stakeholders of the global maritime community, as appropriate.

\*\*\*

## **ANNEX 3**

### **DRAFT TEXT OF LESSONS LEARNED FOR PRESENTATION TO SEAFARERS**

#### **1 FATALITY**

##### **Very serious casualty: Fatal fall into cargo hold**

##### **What happened?**

During cleaning of cargo holds by ship's crew while the ship was underway at sea, the residual cargo of iron ore was removed from the bilge wells and placed in a pile in each hold before being lifted up by means of buckets and a portable davit to the deck for disposal. The quartermaster and the oiler climbed down to the bottom of a hold to fill the bucket. The cadet operated the winch and the bosun worked the davit and directed the cadet. The bosun connected an empty bucket to the cargo runner and signalled the cadet to hoist it. Once the cadet had hoisted the bucket clear of the hatch coaming, he stopped hoisting but the winch ran on a little. The bosun swung the davit over the hatch coaming and then told the cadet to lower the bucket. But it did not move and the cargo runner went slack because the bulldog grips attaching a shackle to the wire were jammed at the head of the davit in between the sheave and the davit head. The bosun climbed onto the hatch coaming, walked along the top of it and grabbed hold of and pulled on the bucket trying to release the shackle from the davit head, but it did not come free. Then he pulled on the bucket again and, as he did so, the davit moved. As the davit moved, the bosun lost his balance and fell into the hold. He died of the injuries he sustained.

##### **Why did it happen?**

A working at height permit was not issued before the bosun climbed onto the hatch coaming and the risk controls that such a permit required were not implemented.

On board safety culture had not be fully and effectively developed as reflected by crew who did not take the opportunity to improve the future safety by engineering a solution to a known problem (jamming of cargo runner of portable davit); and the bosun who disregarded the SMS requirements relating to working at height and climbed onto the hatch coaming of the open cargo hold.

##### **What can we learn?**

Take note of small problems and work out safe solutions. In this case, the cargo runner of portable davit became jammed in the head of the davit when the bucket was being hoisted too high. The situation could have been improved or avoided if a mark had been put on the cargo runner to indicate to the winch operator when to stop hoisting, or if a preventer had been fitted to the cargo runner to prevent it from jamming in the head of the davit. Crews should never work at height without the proper safety procedures being implemented.

##### **Who may benefit?**

Seafarers.

#### **2 FIRE**

##### **Very serious casualty: Ro-ro passenger ship fire**

## **What happened?**

A 20,000 gross tonnage ro-ro passenger ferry, with 203 passengers, 32 crew members and a full load of cargo units on board, was on a voyage which normally takes about 20 hours. About two hours after departure and just a few minutes before midnight fire broke out in one of the cargo units in the garage deck. The manually-operated drencher system was activated from the bridge but did not deliver any water. An attempt was then made to start the drencher system from the engine control room but this was also unsuccessful. The fire spread rapidly. Fire-fighting was difficult due to the thick smoke and eleven minutes after the first alarm the Master ordered the evacuation of the ship. While all passengers and crew were safely evacuated 23 people were injured, mostly from smoke inhalation.

## **Why did it happen?**

The crew were unable to start the vehicle deck drencher system. The inability to start the drencher system pump remotely from either the bridge or the engine control room was most likely because a selector switch, which was located adjacent to the drencher pump and controlled the discharge valve on the drencher pump, was left in the "manual" position.

According to the voyage data recorder a self-closing fire door protecting a stair well from the vehicle deck remained open during the fire, allowing smoke and flames to reach accommodation and public spaces. The fire door was fitted with a self-closing mechanism, but it was not possible to determine whether this mechanism was functioning correctly at the time of the fire.

When the accommodation sprinkler system activated, a pipe connection parted, resulting in an uncontrolled flow of water into the engine room. The engineer-on-watch, concerned about the possibility of water damage to machinery and/or flooding of machinery compartments moved rapidly to the sprinkler room, located some distance from the main machinery room, to stop the sprinkler pump. In so doing he was unable to address other pressing issues such as the failure of the vehicle deck drencher system to operate. For reasons unknown no attempt was made to open the cross-over valve which would have enabled the ship's fire pumps to supply the drencher system. This valve was located in the sprinkler room.

## **What can we learn?**

Possibly because of his pre-occupation with dealing rapidly with both the drencher and sprinkler system problems, the engineer-on-watch did not inform the command centre about the leakage from the sprinkler system so an opportunity was lost for him to gain assistance to deal with both issues efficiently. This emphasises the need to maintain good communication at all times.

The specific operation of drencher systems varies between installations. It is essential that crew members responsible for the deployment of the systems are made familiar with all methods of their operation, including necessary valve settings and sequence of actions. This can be assisted by:

- the provision of clear and simple schematic diagrams located at all operating positions, being mindful that operators may not all share a common native language;
- the clear marking of valves and switches – perhaps assisted by standard colour schemes;

- induction training for new crew members; and
- regular and realistic drills.

The limitations of drencher systems need to be recognised. The importance of early deployment if there is to be any chance of containing a fire needs to be stressed.

With regard to the failed coupling in the sprinkler system and the open fire door, while the reasons for these failures are not known, they emphasise the need to report any equipment malfunctions immediately, in order to allow for maintenance and repair work to be carried out.

When fire spreads rapidly through public and accommodation spaces good communication between the crew and the passengers is essential. This can be assisted by:

- crew members wearing high visibility safety vests to make them readily recognizable as a point of contact to passengers; and
- broadcasting emergency announcements in multiple languages to ensure that as many passengers as possible understand the information.

### **Who may benefit?**

Seafarers, passenger ship, ro-ro ferry operators and managers, and Administrations.

## **3 FIRE**

### **Very serious casualty: Explosion in machinery space**

#### **What happened?**

A 2,500 gross tonnage ship was propelled by a 1470kw diesel engine. A few hours after the ship set sail, an air leak from a faulty air regulator was discovered in the main engine air supply. The ship was stopped to allow the faulty regulator to be changed for a spare.

While the repair was taking place the two running diesel generators stopped. Attempts to restart them led to all the starting air being used up. An attempt was made to start one of the generators using oxygen from a welding set bottle connected to one of the engine cylinders. There was an explosion and the Chief Engineer and an Oiler received serious injuries.

#### **Why did it happen?**

The reason the engines stopped running was not diagnosed and rectified before trying to re-start them. In consequence, starting air was wasted.

The energy released by the ignition of the injected fuel in an oxygen-rich atmosphere was much greater than the engine was designed for.

Personnel present during the preparation to use oxygen to start the engine were aware of the dangers but did not challenge the decision to use oxygen.

### **What can we learn?**

Never attempt to use pressurized oxygen to start a combustion engine.

Diagnose the root cause of a machinery failure before attempting to restart the unit.

Cultivate a culture within the Company—ashore and afloat—which encourages justifiable challenges to unsafe decisions of superior ranks.

### **Who may benefit?**

Seafarers.

## **4 FLOODING AND SINKING**

### **Very serious casualty: Flooding and sinking of general cargo/containership**

#### **What happened?**

During the early hours of the morning while a small containership was sailing, the engine-room bilge alarm sounded. The engine room was manned and the duty engineer noted a rising level of water below the bottom plates. The Master and Chief Engineer were called. By the time they both arrived in the engine-room, water had begun to cover the bottom plates.

No pumps were started in order to pump out the water. No other actions were taken to reduce the flooding or the water level. The source of the flooding was not established

The engine-room was abandoned half an hour after the ingress was discovered, however no efforts were made to ensure that watertight doors leading to the port and starboard passageways connected to the engine-room were fully and effectively closed and battened down.

The Master ordered that the ship be abandoned around 45 minutes after discovery of the flooding. The freefall lifeboat was launched another 35 minutes later with all crew on board (at 0320hrs). Problems were encountered with the engine of the lifeboat, which failed after 5 minutes due to a clogged fuel filter. The crew were all seasick in the lifeboat.

The Master reboarded the ship from the lifeboat around 0830hrs and communicated with head office. By this time, the main deck was awash in front of the accommodation, but the emergency generator was still running.

The entire crew was rescued shortly before noon by another ship. Although still afloat at 1700hrs, the ship eventually sank.

#### **Why did it happen?**

The engineer on duty took no immediate action to reduce the effect of the flooding, e.g. opening the emergency bilge suction and starting the ballast pump. (It has been calculated that the rate of water ingress was approximately the same as the capacity of the ballast pump.)

On arrival in the engine-room, neither the Master nor Chief Engineer ordered any action to reduce the flooding.



The watertight doors leading from the engine-room to the port and starboard passageways were not adequately secured. The ship had sufficient stability to remain afloat if these watertight doors had been secured.

### **What can we learn?**

In this case the decision to abandon ship proved to be premature. Although safety of life must be the highest priority, abandoning ship should be the last resort as it brings its own dangers and removes from the scene the people necessary to help save the ship.

It is important for all ships to have contingency plans for dealing with the flooding of various compartments and to drill the crew against these plans.

All engineer officers should be able to take initial remedial action against flooding in the engine-room by opening the appropriate valves and starting pumps immediately.

The importance of securing watertight doors in emergency situation should be made clear to all personnel on board.

Lifeboat engines require prolonged running on test and not just a weekly run of a few minutes. This is necessary in order to uncover problems such as debris in the fuel tanks and lines.

### **Who may benefit?**

Seafarers.

## **5 COLLISION**

### **Very serious casualty: Collision between chemical tanker and cargo ship**

#### **What happened?**

A northbound (course 322°) 11,100 gross tonnage chemical ship collided with a southbound (course 162°) 2250 gross ton general cargo ship off the coast in good visibility. Initially the two ships were going to pass clear of each other with the chemical carrier passing ahead of the cargo ship, but when the ships were 0.8 miles apart, the chemical carrier made a late and bold alteration of course to starboard and towards the cargo ship.

The cargo ship, loaded with scrap iron, then altered her course to port, away from the chemical carrier, but this was insufficient to avoid collision.

The chemical carrier struck the cargo ship almost amidships, holing her. The chemical carrier applied full astern and pulled away from the cargo ship.

The cargo ship, with both holds holed, sank within a very few minutes. Five members of the 10-man crew of the cargo ship perished.

#### **Why did it happen?**

There was a failure to comply with International Regulations for Preventing Collisions at Sea on both ships: no early and clear alteration by both ships; and, there was a failure to assess the risk of collision.

An inappropriate alteration of course by the chemical carrier when it was too close to another ship.

Both ships were still at full ahead at the time of the collision.  
The chemical ship pulled out of the holed cargo ship allowing flooding.

There were indications of fatigue on the part of both OOWs, who were near the end of their 6-hour watches.

### **What can we learn?**

The importance of:

- keeping a good lookout, maintaining vigilance and complying with Collision Regulations;
- ensuring OOWs are well rested and alert;
- taking remedial action once a collision is unavoidable (stopping the engine, going astern); and
- not pulling out of a ship once a collision has occurred.

### **Who may benefit?**

Seafarers.

## **6 FATALITY**

### **Very serious casualty: Crew member loss of life as a result of an infectious disease**

#### **What happened?**

After leaving port, a crew member reported that he had a headache and chills to the Chief Officer. Believing that the crew member had a cold, the Chief Officer provided cold medication although the master was the designated medical care officer. The next day the crew member was given pain relievers from muscle aches. The crew member continued to work as usual for the next 3 days until, while working on deck during the morning, he was sent to his cabin to rest. The crew member's temperature reached 42°C and the Chief Officer called the International Radio Medical Centre. Malaria tests were conducted and were positive for the malignant malaria type *Plasmodium Falciparum*. The crew member was given Malarone tablets, but he was vomiting repeatedly. The ship altered its course and increased its speed in order to reach a position where evacuation by helicopter would be possible.

Throughout the day the ship provided observations on the crew member's condition and received instructions from the Radio Medical Centre. Early in that evening, however, the crew member died.

#### **Why did it happen?**

The crew member was most probably infected with the virus during the port stay.

Medicine on board was not managed properly by qualified crew. The procedures used on board the ship did not ensure that only the designated medical care officer handed out medicine to the crew members.

Due to the port being situated in a "No or low risk of malaria area", the shipowner and shipboard management considered it unnecessary to prepare such a risk assessment, and no risk assessment was made considering local conditions.

#### **What can we learn?**

The importance of ensuring that all crew members are made aware of what diseases may be present at port, how to minimize contracting the diseases and their symptoms.

The importance of notifying the designated medical care officer of any symptoms exhibiting by crew members as early as possible.

Malaria medicine to be administered intravenously exists (which is available at hospitals) and could possibly have ensured that the medicine given was effective and not rejected.

#### **Who may benefit?**

Seafarers, shipowners and operators.

## **7 FATALITY**

### **Very serious casualty: Man overboard while securing pilot transfer ladders**

#### **What happened?**

While a 12,000 gross tonnage containership was at sea, the chief mate told the bosun and ratings that because of heavy weather, the previous day's standing order/work permit that no one was allowed to work outside the accommodation without permission from the master or chief mate was still in force.

At a watch change, the bosun told both the relieving rating and the relieved rating to follow him onto the foredeck in order to secure the pilot transfer ladders. The relieving rating, unaware of the chief mate's order because there had been no handover by the relieved rating, followed the bosun outside of the accommodations. Although aware of the standing order/work permit, the relieved rating did not dare challenge the bosun's order.

After securing the starboard side ladder they crossed over to the port side, the windward side, to secure the port side ladder. While the two ratings were working on it, the bosun was walking toward the accommodation on the port side, when he was washed overboard.

Immediately after the accident, rescue efforts by the ship, passing ships and the Rescue Coordinating Centre were initiated, but the bosun was not found.

#### **Why did it happen?**

The bosun did not follow the chief mate's instructions that prohibited working outside the accommodation. The bosun did not consult with the master or the chief mate about a work permit prior to the work on foredeck.

The relieved rating did not hand over the chief mate's instructions to the relieving rating, who had no concerns about working on the foredeck, resulting in acceptance of the bosun's work order.

The bosun went to the foredeck due to concerns about whether the pilot transfer ladders had been properly secured.

### **What can we learn?**

The chief mate's instructions to crew on daily work under the conditions of heavy weather should be followed, and standing orders/work permits should be signed by the master or the chief mate before commencing the work.

The crew should be encouraged to discuss the decisions made by their superiors when having doubts or concerns about safety.

Safety notices should be posted on the accommodation doors leading to outside alleyways when work on deck is prohibited

When heavy weather is anticipated, the pilot transfer ladders and other movable objects on deck should be secured prior to the departure.

### **Who may benefit?**

Seafarers, shipowners and operators.

## **8 FATALITY**

### **Very serious casualty: Worker trapped in unloading equipment**

#### **What happened?**

A 20,000 gross tonnage bulk carrier was berthed alongside and discharging cargo. Around midnight a wiper was stationed in the ship's conveyor belt tunnel to monitor the conveyor. He was equipped with a walkie-talkie to communicate.

On a routine round of the cargo system, the chief mate found the wiper trapped between the running conveyor belt and roller. The chief mate immediately activated the emergency stop button for the conveyor belt, sounded the alarm and called for assistance. The wiper had already died from his injuries.

#### **Why did it happen?**

Although safety meetings were conducted monthly, the chief mate and watchkeeping mates did not confer with the wiper about the risks he would encounter before commencing the task in the tunnel. Furthermore, there was no specified loading and unloading instructions on the conveyor belt tunnels. The wiper neither might have become aware of the hazard nor have known how to react when he spotted the irregularities in the tunnel.

Since no risk assessment of workplace was conducted after the installation of guard rails by the company, measures taken were inadequate to prevent the wiper from getting trapped in the running conveyor belt and to alleviate the damages caused by it. As the result, the wiper was trapped and could not stop the operation of the conveyor belt.

### **What can we learn?**

To ensure that seafarers can work in a safe environment, it is imperative that companies conduct a hazard identification and risk assessment and that proper control measures are put into place.

Work instructions and standards operating procedures, which reflect the risk assessments and control measures, should be developed and that seafarers are properly familiarized with their use.

Before commencing the task, it is important to make sure that safety issues are communicated among the officers and crew.

Emergency stops should be placed so that they are immediately in reach of the seafarer at his working location.

### **Who may benefit?**

Seafarers, cargo owners, shipowners and operators.

## **9 CONTACT**

### **Serious casualty: Contact with a quay along a river**

#### **What happened?**

A containership of about 18,000 gross tonnage left a berth on a river with a tug and was heading towards the south side of the river. As the ship's bow entered the main flood tidal stream, the bow unexpectedly paid off to starboard after the pilot ordered the helm to port. The pilot then ordered the helm to hard-a-port but the bow continued to pay off to starboard. The master and the pilot agreed to abort the manoeuvre and set the engine to full astern. The pilot also ordered the tug to return immediately to assist the ship, but the ship made contact with a quay on the opposite side of the river. The quay sustained superficial damage but the ship suffered significant damage to her bow with her forepeak tank punctured. There was no pollution and no one was hurt.

#### **Why did it happen?**

The flood tide acting on the port bow, coupled with the wind and the outward flow of water creating a counter-flow off the berth acting on the starboard quarter, was sufficient to overcome the turning effect of the applied port helm.

The margin for error in achieving the intended manoeuvre was small and the pilot had unintentionally not applied port helm until after the ship's bow had entered the flood tidal stream. The engine was set to full astern, but the ship's stopping distance exceeded the available space ahead.

It was the pilot's usual practice to release the tug after clearing the berth and establishing steerage. In his experience, he did not feel the need to retain the tug for a ship of this size. The port authority relies on the judgment of the pilot to determine to what extent tug assistance is required.

The pilot had conducted the same manoeuvre, under similar tidal conditions, on a number of occasions without incident. The Information exchanged between the master and the pilot was

limited to the condition and readiness of the ship. Both the master and the pilot considered the departure to be a routine operation which did not require any further discussion or elaboration.

Similar accidents had happened before, but the port authority had no means for ensuring that the identified lessons had been effectively promulgated to its pilots.

### **What can we learn?**

It is essential that the masters and the pilots should exchange information regarding hazards they may encounter and its control measures to be taken before commencing the navigation.

Hazard identification and risk assessment regarding the effect of tidal stream on ships manoeuvre should be carried out appropriately.

Procedures for ships to use a tug when a strong tidal flow is anticipated should be established.

An effective way to disseminate lessons learnt to the pilots should be developed.

Communication among the pilots and the bridge team should be encouraged for the pilots to be able to draw the best decision-making.

### **Who may benefit?**

Seafarers, pilots, and port authorities.

\*\*\*

**ANNEX 4**

**DRAFT ASSEMBLY RESOLUTION A. [...](28)  
adopted on [.....] 2013**

**DRAFT GUIDELINES TO ASSIST INVESTIGATORS IN THE IMPLEMENTATION  
OF THE CASUALTY INVESTIGATION CODE (RESOLUTION MSC.255(84))**

THE ASSEMBLY,

RECALLING article 15(j) of the Convention on the International Maritime Organization concerning the functions of the Assembly in relation to regulations and guidelines concerning maritime safety and the prevention and control of marine pollution from ships,

NOTING with concern that, despite the best endeavours of the Organization, casualties and incidents resulting in loss of life, loss of ships and pollution of the marine environment continue to occur,

NOTING ALSO that the safety of seafarers and passengers and the protection of the marine environment can be enhanced by timely and accurate reports identifying the circumstances and causes of marine casualties and incidents,

NOTING FURTHER the rights and obligations of coastal and flag States under the provisions of articles 2 and 94 of the United Nations Convention on the Law of the Sea (UNCLOS),

NOTING IN ADDITION the responsibilities of flag States under the provisions of the International Convention for the Safety of Life at Sea (SOLAS, regulation I/21), the International Convention on Load Lines, 1966 (article 23) and the International Convention for the Prevention of Pollution from Ships (MARPOL, article 12), to conduct casualty investigations and to supply the Organization with relevant findings,

CONSIDERING that each Administration shall conduct investigations of marine casualties and incidents, in accordance with SOLAS regulation XI-1/6, as supplemented by the provisions of the Code of the international standards and recommended practices for a safety investigation into a marine casualty or marine incident (Casualty Investigation Code) adopted by resolution MSC255(84),

ACKNOWLEDGING that the investigation and proper analysis of marine casualties and incidents can lead to greater awareness of casualty causation and result in remedial measures, including better training, for the purpose of enhancing safety of life at sea and protection of the marine environment,

RECOGNIZING the need for *Guidelines to assist investigators in the implementation of the Casualty Investigation Code* (resolution MSC.255(84)) to provide, as far as national laws allow, a common approach for States to adopt in the conduct of marine safety investigations into marine casualties and marine incidents,

RECOGNIZING ALSO the international nature of shipping and the need for cooperation between Governments having a substantial interest in a marine casualty or incident for the purpose of determining the circumstances and causes thereof,

HAVING CONSIDERED the recommendations made by the Maritime Safety Committee at its [ninety-second] session and by the Marine Environment Protection Committee at its [sixty-fifth] session:

1. ADOPTS the Guidelines to assist investigators in the implementation of the Casualty Investigation Code (resolution MSC.255(84)) set out in the annex to the present resolution;
2. INVITES all Governments concerned to take appropriate measures to give effect to the Guidelines as soon as possible in order to allow effective analysis when conducting a marine safety investigation and taking preventive actions;
3. REVOKES resolutions A.849(20) and A.884(21).

\* \* \*



## ANNEX

### **GUIDELINES TO ASSIST INVESTIGATORS IN THE IMPLEMENTATION OF THE CASUALTY INVESTIGATION CODE (RESOLUTION MSC.255(84))**

#### **1 INTRODUCTION**

1.1 The purpose of these Guidelines is to provide practical advice for the systematic investigation of marine casualties and incidents and to allow the development of effective analysis and preventive action. The overall objective is to prevent similar casualties and incidents in the future.

1.2 The ultimate purpose of a marine safety investigation is to advance maritime safety and protection of the marine environment. In the context of these Guidelines, this goal is achieved by identifying safety deficiencies through a systematic safety investigation of marine casualties and incidents, and then recommending or effecting change in the maritime system to correct these deficiencies. It is not the purpose of a safety investigation to determine liability or apportion blame.

1.3 These Guidelines should result in an increased awareness by all involved in the marine industry of the human, organizational, environmental, technical and external factors that may be involved in marine casualties and incidents. This awareness should lead to proactive measures by the maritime community which in turn should result in the saving of lives, ships, cargo and the protection of the marine environment, improvements to the lives of marine personnel, and safer shipping operations.

1.4 These Guidelines apply, as far as national laws allow, to the investigation of marine casualties or incidents in which either one or more States have a substantial interest because the casualty or incident involves a ship under or within their jurisdiction.

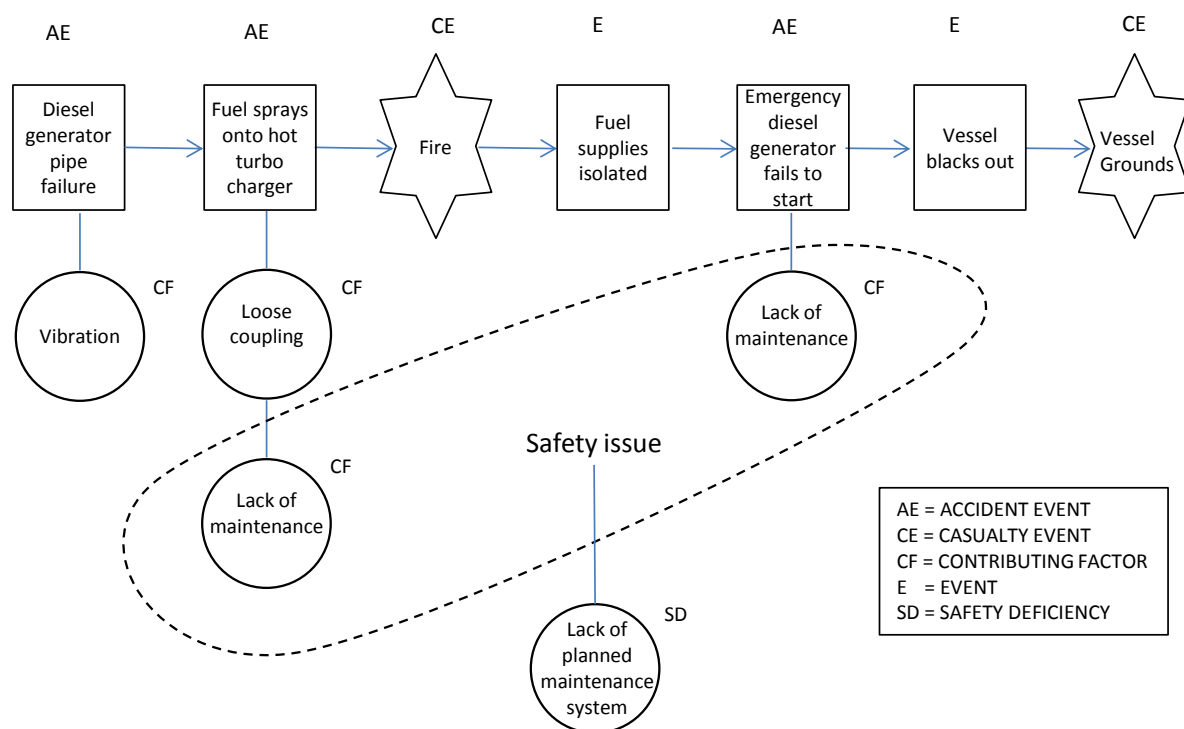
## **2 DEFINITIONS**

### **2.1 Table of definitions**

2.2 See chapter 2 of the Casualty Investigation Code (resolution MSC.255(84) for terms not defined in these guidelines

Event	An action, omission or other happening.
Casualty event	The marine casualty or marine incident, or one of a number of connected marine casualties and/or marine incidents forming the overall occurrence. (e.g. a fire leading to a loss of propulsion leading to a grounding).
Accident event	An event that is assessed to be inappropriate and significant in the sequence of events that led to the marine casualty or marine incident. (e.g. human erroneous action, equipment failure, etc.).
Contributing factor	A condition that may have contributed to an accident event or worsened its consequence. (e.g. man/machine interaction, inadequate illumination, etc.).
Safety issue	An issue that encompasses one or more contributing factors and/or other unsafe conditions.
Safety deficiency	A safety issue with risks for which existing defences aimed at preventing an accident event, and/or those aimed at eliminating or reducing its consequences, are assessed to be either inadequate or missing.

The following diagram illustrates how a sequence of events leading to a casualty occurrence would be classified using the above terms.



### 3 QUALIFICATIONS AND TRAINING OF INVESTIGATORS

3.1 To achieve a systematic and effective safety investigation the appointed investigators need to have expertise in marine casualty investigation and be knowledgeable in matters relating to the marine casualty or incident. Areas of expertise need to include evidence collection techniques, interview techniques, analysis techniques and the identification of human and organizational factors in marine casualties and incidents.

3.2 All investigators attending a marine casualty site should have sufficient knowledge in personal safety, taking particular note that the hazards present at a casualty site may well be beyond those encountered in normal ship operations.

3.3 A Marine Safety Investigation Authority should consider developing a formal training programme to ensure that its investigators acquire the necessary knowledge, understanding and proficiency in marine safety investigation.

### 4 NOTIFICATION AND COOPERATION

4.1 Notification of a marine casualty or incident is to be provided to all affected parties as soon as reasonably practicable. Notification includes informing the parties involved in the casualty or incident according to chapter 20 of the Code, as well as any substantially interested State in accordance with chapter 5 of the Code. Notification should preferably be in a format that ensures a prompt acknowledgement from the addressee.

4.2 If the casualty or incident involves substantial interests of more than one State, the States should quickly reach an agreement on cooperation in accordance with chapter 7 of the Code. This agreement may include, but not be limited to:

- .1 ensuring that the objectives of each participating State is in accordance with the IMO Casualty Investigation Code;
- .2 which State will lead the investigation;
- .3 the possibilities to share casualty information, and draft safety investigation reports in accordance with chapter 13 of the Code, with regard to national legislation on confidentiality as well as the potential risk of safety investigation findings being used in criminal and civil lawsuits; and
- .4 distribution of costs related to the investigation.

4.3 If an agreement in accordance with the Code, chapter 7, cannot be made, the involved States should seek to share factual information to the greatest extent possible, being guided by the recommended practice in the Code.

## **5 INVESTIGATION**

### **5.1 Extent of investigation**

5.1.1 Marine casualties and incidents can have many causal factors and the underlying safety issues often exist remote from the casualty site. Proper identification of such issues requires timely and methodical investigation, going far beyond the immediate evidence in search for conditions which may cause future occurrences. Marine casualty or incident safety investigations should therefore be seen as a means of identifying not only the accident events, but also safety deficiencies in the overall management of the operation from policy through to its implementation, as well as in regulation, survey and inspection. For this reason safety investigations should be broad enough to meet these overriding criteria.

5.1.2 The extent of any safety investigation can be divided into five areas:

- .1 people;
- .2 environment;
- .3 equipment;
- .4 processes and procedures; and
- .5 organization and external influences.

### **5.2 Initial response**

5.2.1 An investigation should be carried out as soon as possible after an occurrence so as to limit the loss of perishable evidence including the degradation of witness memory. To be able to start promptly it is essential that the investigating State has a preparedness plan in place which among other things, will facilitate:

- .1 the ready availability of trained investigators;
- .2 the availability of specialist help, including human and organizational factors experts;

- .3 ready access to 24-hour contact points for other Marine Safety Investigation Authorities; and
- .4 the availability of the necessary predictable resources.

### **5.3 Site management**

5.3.1 Site management generally starts even before the investigator deploys to the casualty site. The pre-planning will often need to include:

- .1 identification of competencies needed at the casualty site;
- .2 identification of hazards and risks that the team may encounter at the casualty site, and the precautions that need to be taken, as well as the personal protective equipment (PPE) that needs to be carried;
- .3 identification of particularly vulnerable evidence that needs to be secured as soon as possible including VDR information, documentation of sites that for some reasons cannot be left unchanged until the team arrives, and repatriation of crew members; and
- .4 a draft interview schedule taking into account repatriation of seamen as well as the fact that persons involved can suffer from trauma.

5.3.2 There can be many different stakeholders involved in the aftermath of a marine casualty or incident, each with their own legitimate interests and responsibilities. Coordination at the casualty site is vital to make the evidence collection successful.

5.3.3 When arriving at the casualty site the hazard and risk assessment should be reviewed to identify any additional risks for the team and to put in place any necessary remedial action before the team starts its work.

### **5.4 Start-up meeting**

5.4.1 In safety investigations involving more than one State it is generally wise to set up a meeting with representatives of the other substantially interested States at an early stage. The purpose of the start-up meeting is, among other things, to facilitate:

- .1 the sharing of knowledge of what is known about the marine casualty or incident;
- .2 the development of an investigation plan;
- .3 the delegation of investigation tasks (international coordination); and
- .4 the identification of additional help in the form of specialists and/or technical expert examination.

### **5.5 Collection of evidence**

5.5.1 During the safety investigation, investigators should aim to gather and record all the evidence and factual data which may be of interest within the scope of the investigation. Physical and documentary evidence and witness statements should be gathered not only at the casualty site, but from all sources required to fully explain the accident events and their contributing factors to the accident (e.g. operation, management, inspection and regulation).

5.5.2 Evidence collection also needs to be broad enough to cover the human, organizational and environmental factors in relation to the casualty or incident. If a human and organizational factor specialist is required, it is essential to include this expert as early as possible in the investigation team.

5.5.3 To facilitate a comprehensive evidence collection it is often wise to:

- .1 refer to generic checklists but remain flexible as evidence once collected will often point out new areas of inquiry; and
- .2 use a system to register the evidence collected (Evidence log). This is particularly valuable in complex investigations or when more than one State is involved.

5.5.4 It is recommended that the fact-finding stage of the investigation process itself be kept separate from the complete analysis of the collected evidence leading to conclusions and recommendations. Fact finding usually includes, but is not necessarily limited to the areas covered in paragraphs 5.6-5.10.

## **5.6 Inspection of casualty site**

5.6.1 Inspection and documentation of the casualty site and/or places of interest for the investigation can include inspection of the ship/ships involved, a fairway where the casualty or incident occurred, and underwater survey and filming of the wreckage of a ship.

5.6.2 The collection of evidence that can deteriorate or disappear over time will always be the first priority in evidence collection when the investigator(s) arrives at the casualty site. Photo and/or video documentation of the site in general and in detail, and before any removal of evidence, is generally also of a high priority.

5.6.3 Where there is perishable evidence and the investigator(s) may be delayed in arriving at the casualty site, there may be a need to give instructions for the evidence to be preserved.

## **5.7 Gathering or recording physical evidence**

5.7.1 Physical evidence can include data from VDR and other electronic devices on board like electronic charting systems, central fire alarm units, as well as nautical charts, weather forecasts obtained on board, and logbooks. Physical evidence can also include technical samples of oil, paint, or fire residues, and pieces of broken machinery or other broken parts.

5.7.2 It is essential that the person who collects electronic, documentary or material evidence is skilled in applicable techniques for both collection and storage of that type of evidence to prevent contamination, further deterioration or loss.

5.7.3 Some information of great value can also be obtained from external sources such as CCTV, shore radar and radio surveillance systems and Marine Rescue Coordination Centres. VTS centres may also be able to provide valuable information, including recordings of radio traffic and AIS information.

## **5.8 Witness information**

5.8.1 Witness interviews should be performed by persons skilled in interviewing techniques to reveal information the witness may be able to provide. The planning of the interview is essential for a successful outcome. Things to be considered include:

- .1 time and location;
- .2 any need of interpreters;
- .3 make-up of the interview team and the roles of the team members;
- .4 the particular needs of the witness; and
- .5 the topic areas to be explored with the witness.

5.8.2 The interviewed person should be informed, before the interview starts, about the purpose of the investigation and the conditions under which he/she will be providing information. The witness should generally be interviewed singly, or accompanied by someone nominated by the witness. The nominated individual should, however, not be allowed to interfere with the interview. The witness should under all circumstances be allowed access to legal advice if he/she wants it (see IMO Casualty Investigation Code, chapter 12).

5.8.3 The interview might be recorded or a written record could be made of the interview. A written record should be discussed with the witness to clarify any anomalies. Witness information should be verified wherever possible. Statements made by different witnesses may conflict and further supporting evidence may be needed.

## **5.9 Reviewing of documents, procedures and records**

5.9.1 Documents to be reviewed can include personal and ship-related certificates, reports from the ship's classification society, maintenance records, the Master's standing orders, etc. An assessment may also be made of the company's Safety Management System from its safety policy through to its implementation within the organization.

5.9.2 Government agencies, such as customs, quarantine and State Authorities may have useful information relating to crew lists, the general condition of the ship, ship certificates, etc. Coroners and medical records can provide valuable information. Port authorities and independent surveyors can also hold information of use to an investigation. Applicable regulations may also need to be examined.

5.9.3 A good investigation explores the extent of correlation between the documents and reality at all appropriate levels: this will generally require some specialist skills.

## **5.10 Conducting specialized studies (as required)**

5.10.1 It can sometimes be necessary to conduct specialized studies to establish how a casualty or incident happened. This can include, for example, metallurgic specialist studies of broken machinery parts, analysis of oil or paint residues, calculation and reconstruction of a ship's stability features, lashing calculations, specialist analysis of weather and sea conditions at the time and place of the casualty or incident, and the use of simulators to reconstruct and analyse a sequence of events.

5.10.2 Where a proposed testing of physical evidence is likely to change its state, other interested parties who may be relying on that evidence should be consulted.

## **5.11 Reconstruction and analysis**

5.11.1 There are several different methods of organizing evidence to support reconstruction and analysis in safety investigation, each having its own benefits and drawbacks. To ensure that a casualty or incident is thoroughly examined from a safety point of view, it is essential that the investigation is done with a systemic perspective. A systemic perspective involves going beyond determining "who did what?" and to look for the conditions that influenced different relevant events, even when these conditions are to be found remote from the casualty site. A systemic perspective also puts human factors into context and includes the interactions between man, machine and the organization.

5.11.2 The analysis methods used will help the investigator to think in a structured way but will also have an effect on where the investigator will put his/her focus. Some methods focus on human factors; some support the understanding of the sequence of events; others are more supportive in complex safety analysis or in understanding technical failures. Analysis methods should therefore rather be seen as tools in a tool box. A good investigation will choose the optimal set of analysis tools to meet the characteristics of that particular casualty or incident. However, the method or the combination of methods used in each investigation should as a minimum requirement support:

- .1 reconstruction of the casualty or incident as a sequence of events;
- .2 identification of linked accident events and contributing factors at all appropriate levels;
- .3 safety analysis and development of recommendations.

## **5.12 Reconstruction of the casualty events and their linked conditions**

5.12.1 The first step in analysis is to review the factual information to clarify what is relevant and what is not, and to ensure the information is as complete as possible or practicable. This stage of the analysis should aim at determining how the marine casualty or incident occurred. The reconstruction is preferably done by using a method that enables a graphical description of the sequence of events. This is beneficial since it allows the investigator to discuss and present the case, and in particular to:

- .1 identify gaps in the information;
- .2 identify any conflicts in evidence;
- .3 provide a graphical description of how different events are related;
- .4 identify contributing factors and their relation to different accident events.

5.12.2 Marine casualty or incident investigation is an iterative process and the reconstruction phase generally identifies a need to make a revision of the evidence collection plan.



### **5.13 Safety analysis**

5.13.1 The purpose of a safety analysis is to get a more thorough understanding of the underlying safety issues that can cause or contribute to a casualty or incident. Some investigation analysis methods combine casualty reconstruction and safety analysis into one. Some basic analysis methods can be directly linked to the reconstruction of events, while other safety analysis tools can be derived from different accident causational models and are better used as stand-alone methods. Efficient safety analysis tools:

- .1 encourage different perspectives of casualty or incident causation;
- .2 support communication and deeper questioning;
- .3 enable the identification of safety issues and safety deficiencies, including those remote from the casualty site;
- .4 enhance the development of effective remedial actions at all appropriate levels.

## **6 REPORTING**

### **6.1 Reporting requirements**

6.1.1 MSC-MEPC.3/Circ.[4] requires particular marine casualty data to be entered into the GISIS marine casualties and incidents module, together with the final version of a marine safety investigation report.

### **6.2 Final report**

6.2.1 To facilitate the flow of information, the final report of the safety investigation should be well structured and cover what is listed in chapter 2.2.12 of the Code. The report should, within its different parts, clearly distinguish between facts and analysis.

6.2.2 The singleness of purpose to enhance maritime safety and protection of the marine environment should be reflected in the non-judgmental language used in the report. Witnesses' names and personal information which may identify them should remain confidential.

6.2.3 In normal investigation practice, gaps in information that cannot be resolved are usually filled by logical extrapolation and reasonable assumptions. Such extrapolation and assumptions should be identified and a statement of the measure of certainty provided. Despite best efforts, analysis may not lead to firm conclusions. In these cases, the more likely hypotheses should be presented.

6.2.4 If safety recommendations are issued these should be addressed to those that are best placed to implement them, such as shipowners, managers, recognized organizations, maritime authorities, vessel traffic services, emergency bodies, and international and regional maritime organizations and institutions. Safety recommendations should always be supported by the facts and analysis of the safety investigation. To gain acceptance, recommendations need to be practical, necessary and likely to be effective.

6.2.5 Where it becomes apparent during an investigation that there is a safety deficiency that presents a serious potential risk to lives, ships or the environment, action should be taken to inform the people or organization responsible for managing the risk. This may take the form of an interim safety recommendation or some other means of correspondence. It is

important not to delay action to address such safety risks until the completion of the investigation.

### **6.3 Consultation**

6.3.1 In accordance with sections 25.2 and 25.3 of the Code, where it is practicable, the investigator should send a copy of a draft marine safety investigation report for comment to the interested parties as defined in section 2.2.7 of the Code. This allows a process for correcting matters of fact within a report and the consideration of alternative hypotheses or opinions in relation to the analysis. In addition, it allows responsible parties, e.g. the ship operator, to indicate what safety action may have been taken in relation to a safety issue. Any such action taken should be included in the final report.

6.3.2 The investigator should consider the comments before preparing the final marine safety investigation report, being guided by section 25.3 of the Code.

### **6.4 Publication**

6.4.1 The final report should be made available to the public and the shipping industry in accordance with section 14.4 of the Code. The Internet is a valuable tool for making a report available to the public.

6.4.2 A summary of the marine safety investigation report and any safety recommendations, translated into English and/or other major languages, will enable a global public to gain important safety information from the investigation.

### **6.5 Follow up on safety recommendations**

6.5.1 Every recommendation addressed to an individual or specific organization should be followed up within a reasonable period following the release of a final safety investigation report with a view to promoting safety action. It is also good practice to reinforce positive safety action to address a recommendation by making it public. Similarly, the fact that no action has been taken by those responsible for implementing a recommendation should also be published.

\* \* \*

## **APPENDIX 1**

### **AREAS OF HUMAN AND ORGANIZATIONAL FACTORS INQUIRY**

The areas of inquiry set out in this appendix can be used in planning the investigation of human and organizational factors during a maritime safety investigation. Some areas of inquiry overlap or indeed incorporate multiple interactions. The guidance is not meant to be exhaustive, nor is it intended to be a checklist where each point must be investigated every time. Some areas may not be relevant in the investigation of a particular occurrence, while other areas may require deeper investigation. As new human and organizational factors/issues emerge, new areas of inquiry will need to be explored by investigators.

Skilful interviewing can help the investigator eliminate irrelevant lines of inquiry and focus on areas of greater potential significance. The order and manner in which questions are asked will depend on who is being interviewed and on his or her willingness and ability to recall and describe personal behaviour and personal impressions. Training in cognitive interviewing techniques will assist investigators in eliciting accurate information from interviewees, and is highly recommended. Further, because human interactions, including interviews, are subject to misunderstanding, it will normally be necessary to verify, cross-check or augment information received from one person by interviewing others on the same subjects.

While important human and organizational factors/information can be gained through interview, investigators must ensure that they also seek additional information through other means. Examination of rosters, procedures, personnel records, safety occurrence reporting records and risk assessment protocols (for example) may provide critical insights into practices, norms and attitudes potentially affecting safety.

### **SHIPBOARD ISSUES**

#### **1 Training and experience**

- Position or rank held.
- Certificate held; length of time the certificate has been held; where trained.
- Experience in the position; both on this ship and over career.
- Length of time on this contract and overall on board the ship.
- Experience on other ships; both with this company and other companies.

#### **2 Shipboard organizational structure and processes**

- The management/department structure on board the ship.
- The individual's position within the on board structure; who they work for, who they work with, who they report to and who they assign duties to.
- Normal day-to-day responsibilities, tasks and duties.
- Description of any interworking with personnel ashore.

### **3 Nature of tasks**

- Specifics of the task(s) being undertaken at the time of the occurrence, including location.
- Differences between the task at that time and normal operations.
- Description of the social dynamics of the working environment (e.g. alone/pair/team).
- Understanding of the task.
- Familiarity with the task; last time it was performed, etc.
- Available discretion relating to how the task was to be accomplished.
- Training provided for the task; what was the training.
- Procedures, documents and guidance for the task.
- Equipment used for the task; reliability, previous failures, problems and were the crew familiar with it.
- Physical environment; heat, humidity, noise, confined space, exposure to chemicals, etc.
- Workload and/or effort required for the task:
  - To what extent was it within their capability at the time.
  - Were there any tasks that they did not do because of the workload on this task.
  - Physical effort involved; pushing, pulling, lifting, etc.
  - Mental effort involved; thinking, deciding, calculating, remembering, looking, searching, etc.
  - Time pressure involved; adequacy of time allocated to the task.
  - Use of scaling questions may assist here. (e.g. "on a scale of 1 to 10, where 1 is very easy and 10 is extremely difficult, how (physically) difficult was this task....").

### **4 Activities prior to occurrence**

- Actions and/or activities before coming on watch or reporting for duty.
- Individual's role in the operation being conducted by the ship at the time of the occurrence.
- Individual's location on board at the time of the occurrence.
- What was being observed immediately prior to the occurrence; what was seen, heard, felt, smelled, and thought about.

**5 Work-period/rest-period/recreation pattern**

- Description of normal duty schedule (e.g. day worker or watchkeeper).
- Description of duty schedule on the day of the occurrence; the day before and during the week before the occurrence.
- Length of time awake and/or on duty at the time of the occurrence.
- Overtime worked on the day of the occurrence; the day before and during the week before the occurrence.
- Usual sleep/rest routine (What time to sleep and awake).
- Sleep/rest routine in the three days (72 hours minimum) leading up to the occurrence:
  - 72-hour history of time to bed/time to sleep/duty times/nap times.
  - If there is an indication of reduced sleep beyond 72 hours, collect sleep information beyond 72 hours (as a guide, back to two good nights' rest prior to the occurrence).
  - Quality of sleep; disturbances, light sleep, waking, how refreshed when waking.
  - Time of day when sleep is taken (impact on quality).
  - Last extended period of off-duty time.

**6 Living conditions and shipboard environment**

- Description of the adequacy of personal facilities; individual, shared or communal; noisy, cramped, vibrations, temperature, ship's motion, etc.
- Availability and consumption of alcohol and/or non-prescribed medications.

**7 Physical health**

- Symptoms of illness experienced within the 72 hours before the occurrence.
- Medications taken (prescription, non-prescription).
- Description of the last meal consumed prior to the occurrence; what and when.
- Description of existence and regularity of exercise routine.
- Details of any recent medical examinations, illnesses or injuries.
- Details of any regular or irregular medication, both prescribed and non-prescribed.
- Description of quality of vision (corrective lenses, etc.).
- Description of quality of hearing (hearing aids, etc.).
- Name and contact details of personal physician.

**8 Mental health**

- Length of time spent away from family or loved ones.
- Extreme emotions at any time in the days before the occurrence; e.g. feelings of extreme sadness, anger, worry, fear (use scaling questions (1 to 10) to determine level).
- Important and/or difficult personal decisions made recently; e.g. financial or family worries.
- Recent work performance; any concerns from others.
- Stress and/or difficult situations whilst on board and how these were being managed.
- Difficulties with concentration.
- Any mental health issues recently and/or in the past.
- Medications taken (prescription, non-prescription).

**9 Working relationships**

- Friendships and/or support from other crew members.
- Conflicts and/or clashes with other crew members or supervisors.
- Trust in other crew members.
- Language barriers interfering with work performance.
- Clarity of roles and responsibilities with other crew members.

**10 Employment conditions**

- Contractual arrangements.
- Complaints or industrial action and systems for resolution of these.
- Recent changes to employment conditions.

**11 Safety policy**

- Awareness of the company's safety policy.
- Ship's procedures for dealing with safety issues; methods of reporting and addressing safety concerns.
- Safety training; type, nature and frequency.
- Emergency drills; type, nature of and frequency.
- Personal protective equipment (PPE) provided.

- Records and/or knowledge of personal accidents or injuries prior to the occurrence.

## **12 Staffing levels**

- Sufficiency of staffing/crew levels on board.
- Appropriate allocation of crew members to duties.
- Changes to normal staffing/crew levels.

## **13 Standing orders**

- Master's standing orders; for all or part of the crew.
- How are the orders communicated.
- Are the orders in accordance with the company policies.

## **14 Level of automation and reliability of equipment**

- Complexity of machinery and automated systems.
- Training provided for systems.
- Competency of crew in using the systems.
- Reliability of systems; any earlier failures.
- Maintenance of systems.
- Are the systems integrated with each other and the task needs.

## **15 Ship design, motion/cargo characteristics**

- Ship design, motion or cargo characteristics; any features which interfere with human performance (e.g. obstructed watchkeeper vision).

## **SHORE-SIDE MANAGEMENT ISSUES**

### **16 Management policies and procedures**

- Existence and opinion of the effectiveness of the safety management system, **including auditing, analysis, reporting and occurrence investigation.**
- Existence and opinion of the effectiveness of risk assessment and management policies and procedures relating to ships, personnel and the environment.
- Existence and opinion of the effectiveness of the role of the Designated Person Ashore (DPA).

### **17 Scheduling of work and rest periods**

- The company's work schedule, relief policy and fatigue risk management policy.

- Adherence to these policies.
- Recent changes to these policies.

**18 Staffing levels**

- The company's policies and practices for determining staffing/crew levels on board ships.
- The effectiveness of these policies and practices.

**19 Assignment of duties**

- The company's policies for determining watchkeeping practices and other duties on board the ship.
- The actual watchkeeping practices.

**20 Shore-ship-shore support and communications**

- Means and level of support for the ship's master in conduct of operations.
- The master's reporting requirements.

**21 Voyage planning and port call schedules**

- Policies, procedures and guidelines provided to the master to enable voyage planning
- Actual practices for voyage planning.

**22 Recreational facilities**

- The company's policies and practices for the provision of welfare and recreational services on board.

**23 Contractual and/or industrial arrangements and agreements**

- Contractual arrangements for all crew members.
- Complaints or industrial action in the last year.

**24 National/international requirements**

- Appropriateness of the applicable international conventions and flag State regulations.
- Effectiveness of the flag State's implementation of the requirements and recommendations of the applicable international conventions.
- Compliance with the requirements and recommendations of the applicable international conventions and flag State regulations.

\*\*\*



## ANNEX 5

### DRAFT MSC-MEPC.3 CIRCULAR

#### Revised harmonized reporting procedures – Reports required under SOLAS regulations I/21 and XI-1/6, and MARPOL, articles 8 and 12

1 The Maritime Safety Committee, at its seventy-second session (17 to 26 May 2000) and the Marine Environment Protection Committee, at its forty-fourth and forty-fifth sessions (6 to 8, 10 and 13 March 2000 and 2 to 6 October 2000 respectively) approved an MSC/MEPC circular (MSC/Circ.953 – MEPC/Circ.372) on Reports on marine casualties and incidents – Harmonized reporting procedures, amalgamating and harmonizing the procedures for reporting casualties to the Organization contained in existing MSC and MEPC circulars.

2 The Marine Environment Protection Committee, at its fifty-eighth session (6 to 10 October 2008) and the Maritime Safety Committee, at its eighty-fifth session (26 November to 5 December 2008) approved amendments to MSC-MEPC.3/Circ.1, reflected in the adoption of MSC-MEPC.3/Circ.3.

3 The Marine Environment Protection Committee, at its sixty-fifth session (..... 2013) and the Maritime Safety Committee, at its ninety-second session (..... 2013) approved amendments to MSC-MEPC.3/Circ.3.

4 Under SOLAS regulation I/21 and MARPOL articles 8 and 12, each Administration undertakes to conduct an investigation into any casualty occurring to ships under its flag subject to those conventions and to supply the Organization with pertinent information concerning the findings of such investigations if:

- .1 it judges that such an investigation may assist in determining what changes in the present regulations may be desirable; and/or
- .2 the casualty has produced a major deleterious effect on the marine environment.

5 Additionally, under SOLAS regulation XI-1/6, each Administration undertakes to comply fully with the provisions of the Code of the International Standards and Recommended Practices for a Safety Investigation into a Marine Casualty or Marine Incident (Casualty Investigation Code).

6 The reporting formats contained in the annex to this circular replace the reporting forms contained in MSC-MEPC.3/Circ.3. They do not replace the reports required under MSC/Circ.539/Add.2, MSC/Circ.802 and MEPC/Circ.332. The reporting format on incidental spillages of harmful substances of 50 tonnes or more has been added, as such reports are considered necessary when investigating a casualty or an incident (MARPOL, articles 8 and 12); however, this does not replace the on-line entry report required by the annual mandatory report under MARPOL, article 11 (MEPC/Circ.318, part 1).

7 Unlike MSC-MEPC.3/Circ.3, this circular serves only as an *aide-memoire* and should not be used as a paper means for accumulating data. The marine safety investigating State should submit data to the IMO Global Integrated Shipping Information System (GISIS) marine casualties and incidents (MCI) module directly and by electronic means only.

8 Following a very serious marine casualty, and in other casualties or incidents where data from a marine safety investigation is to be supplied to the Organization, the marine safety investigating State should submit a marine safety investigation report in addition to the data required in the appendices to this circular. Where there are important lessons to be learned from other marine casualties or incidents, full investigation reports should also be submitted in addition to completing the database.

9 Investigating states are invited to populate the GISIS MCI module with basic factual data about the casualty as soon as possible after the occurrence. This will register on GISIS that a casualty event has occurred, and that it is being investigated. At this early stage, investigating states should aim, as a minimum, to complete all the asterisked fields in appendices 1 and 2, plus as much of the consequence data in appendix 3, as possible.

10 The GISIS MCI module is divided into five appendices, as follows:

- .1 **Appendix 1** requires generic information: the marine safety investigating State, the number of ships involved, generic casualty data, external environmental data, actions taken following the marine casualties and/or marine incidents forming the overall occurrence, and safety recommendations made with the aim of preventing future marine casualties;
- .2 **Appendix 2** requires factual information relating to each ship involved in each marine casualty or marine incident: ship particulars, voyage data, casualty data and consequences;
- .3 **Appendix 3** requires casualty analysis data relating to each ship involved in each marine casualty or marine incident: accidental events and contributing factors; and
- .4 **Appendix 4** requires supplementary information to be added in particular circumstances relating to each marine casualty or marine incident. These additional data requirements will be automatically prompted;
- .5 **Appendix 5** provides field value option tables.

11 **Member Governments are requested to use the present circular when reporting on** marine casualties and incidents, and to make use of the electronic data exchange and reporting facilities available through GISIS (<http://gisis.imo.org/Members>), as described in Circular letter No.2892 – Access to IMO web services, including GISIS and IMODOCS.

12 The present circular supersedes MSC-MEPC.3/Circ.3.

## LIST OF APPENDICES

**APPENDIX 1:** GENERIC INFORMATION

**APPENDIX 2:** FACTUAL INFORMATION, relating to each ship involved in a marine casualty or marine incident

**APPENDIX 3:** CASUALTY ANALYSIS DATA, relating to each ship involved in a marine casualty or marine incident

**APPENDIX 4:** SUPPLEMENTARY INFORMATION, required in particular circumstances relating to each marine casualty or marine incident

**APPENDIX 5:** FIELD VALUE OPTION TABLES:

Table 1:	Marine safety investigating State/Nationality;
Table 2:	Safety recommendation focus
Table 3:	Location of initial marine casualty or marine incident
Table 4:	Casualty event
Table 5:	Casualty event severity
Table 6:	Sea state
Table 7:	Wind force
Table 8:	Natural light
Table 9:	Visibility
Table 10:	Type of weather
Table 11:	Ice
Table 12:	Ship operation/Task operation
Table 13:	Oil cargo/bunkers type
Table 14:	Dangerous good in packaged form
Table 15:	Chemicals in bulk pollution category
Table 16:	Accident event
Table 17:	Rank
Table 18:	Relevant training
Table 19:	Error type
Table 20:	Temporary related contributing factors
Table 21:	Permanent related contributing factors
Table 22:	Operational contributing factors
Table 23:	Management/organisational contributing factors
Table 24:	Equipment system
Table 25:	Type of equipment failure
Table 26:	Hazardous material type
Table 27:	Type of hazardous material effect
Table 28:	Environmental effect phenomenon
Table 29:	External agencies system
Table 30:	External agencies task affected

\* \* \*

ANNEX

**REVISED HARMONIZED REPORTING PROCEDURES – REPORTS REQUIRED UNDER  
SOLAS REGULATIONS I/21 AND XI-1/6, AND MARPOL, ARTICLES 8 AND 12**

**APPENDIX 1**

**GENERIC INFORMATION**

General

<b>Field number</b>	<b>Field description</b>	<b>Field value type</b>
.1*	Marine safety investigating State	See table 1
.2*	Number of ships involved	Number
.3	Actions taken	Text
.4	Safety recommendation focus (loop for more than one safety recommendation)	See table 2 (multi-choice)
.5	Safety recommendation acceptance	Y/N/Partial
.6	Safety recommendation	Text

Generic casualty data

.1	Summary of events	Text
.2*	Date of initial marine casualty or marine incident (local)	Numbers
.3*	Time of initial marine casualty or marine incident (local)	Numbers
.4*	Position of initial marine casualty or marine incident – latitude	Numbers
.5*	Position of initial marine casualty or marine incident – longitude	Numbers
.6*	Location of initial marine casualty or marine incident	See table 3
.7*	Overall occurrence designated casualty event	See table 4
.8*	Overall occurrence severity	See table 5

External environmental data

.1	Sea state	See table 6
.2	Wind force	See table 7
.3	Natural light	See table 8
.4	Visibility	See table 9
.5	Type of Weather	See table 10
.6	Ice	See table 11

\* \* \*

## APPENDIX 2

### FACTUAL INFORMATION (relating to each ship involved)

#### Ship particulars

.1*	IMO number	Number/Auto <sup>1</sup>
.2*	Name of ship	Text/Auto
.3	Call sign	Text/Auto
.4	MMSI number	Number/Auto
.5*	Flag State	Auto
.6*	Type of ship (drop list to include high speed craft)	Auto
.7	Gross tonnage	Auto
.8	Length overall	Auto
.9	Classification society	Auto
.10	Registered shipowner	Auto
.11	Ship's company	Auto
.12	Year of build	Auto
.13	Deadweight	Auto
.14	Hull material	Auto
.15	Hull construction	Auto
.16	Propulsion type	Auto
.17	Type of bunkers	See table 14
.18	Number of crew on ship's certificate	Number
.19	Number of passengers on ship's certificate	Number

---

<sup>1</sup> "Auto" means "automatically populated".

### Voyage data

.1	Type of cargo	Text
.2	Packaged dangerous goods or marine pollutants on board	Y/N/U <sup>2</sup>
.3	Number of crew on board	Number
.4	Number of passengers on board	Number
.5	Number of other persons on board	Number

### Casualty data

.1	Casualty event (loop for more than one casualty event)	See table 4
.2*	Casualty event severity	See table 5
.3	Ship operation	See table 12 (multi-choice)
.4	Under pilotage	Y/N/U
.5	GMDSS used	Y/N/U
.6	Life-saving appliances used	Y/N/U
.7	Ship abandoned	Y/N/U
.8	VDR / S-VDR fitted	Y/N/U
.9	VDR / S-VDR information available	Y/N/U
.10	VDR / S-VDR information downloaded	Y/N/U
.11	VDR / S-VDR information useable	Y/N/U

### Consequences

.1	Number of dead or missing crew	Number
.2	Number of dead or missing passengers	Number
.3	Number of other dead or missing persons	Number
.4	Number of crew seriously injured	Number
.5	Number of passengers seriously injured	Number
.6	Number of other persons seriously injured	Number
.7	Total loss of ship	Y/N/U
.8	Material damage to ship	Y/N/U
.9	Breach of hull causing flooding	Y/N/U
.10	Ship unfit to proceed to sea	Y/N/U
.11	Third party damage (including non-ship source pollution)	Text
.12	Ship pollution – oil cargo type & quantity	See table 13 (multi-choice)
.13	Ship pollution – oil bunkers type & quantity	Table 13 (multi-choice)
.14	Ship pollution – chemicals in bulk pollution category & quantity	Table 15 (multi-choice)
.15	Ship pollution – packaged dangerous goods and marine pollutants type & quantity lost overboard	Table 14

\* \* \*

<sup>2</sup> Y/N/U means Yes/No/Unknown.

### APPENDIX 3

#### CASUALTY ANALYSIS DATA (relating to each ship involved)

For each casualty event

.1	Accident event (loop for more than one accident event)	See table 16
----	--	--------------

For each "human erroneous action" accident event

.1	Subject – age	Number
.2	Subject – gender	M/F/U <sup>3</sup>
.3	Subject – nationality	See table 1
.4	Subject – rank	See table 17
.5	Subject – time at sea	Number
.6	Subject – time in present rank	Number
.7	Subject – time held current qualification	Number
.8	Subject – Certificate of competency (type)	Drop down (STCW/Others)
.9	Subject – State issuing certificate of competency	See table 1
.10	Subject – time served with current employer	Number
.11	Subject – time with related experience	Number
.12	Subject – duration of handover	Number
.13	Subject – lack of relevant training	See table 18 (multi-choice)
.14	Subject – hours of rest in last 24 hours	Number
.15	Subject – hours of rest in last 7 days	Number
.16	Subject – number of rest periods in last 24 hours	Number
.17	Subject – longest rest period in last 24 hours	Number
.18	Subject – hours of sleep in last 24 hours	Number
.19	Subject – hours of sleep in last 7 days	Number
.20	Subject – time on duty before marine casualty or marine incident	Number
.21	Subject – time since last sleep period before marine casualty or marine incident	Number
.22	Subject – watchkeeping pattern (drop down list: 4 on/8 off, or 6 on/6 off, or 12 on/12 off <sup>4</sup> , or Other)	Y/N/U
.23	Subject – time served on board ship up to occurrence/continuous service]	
.24	Task operation	See table 12
.25	Description of accidental event	Text
.26	Error type	See table 19
.27	Temporary related contributing factors	See table 20 (multi-choice)
.28	Permanent related contributing factors	See table 21 (multi-choice)
.29	Operational contributing factors	See table 22 (multi-choice)

<sup>3</sup> M/F/U means Male/Female/Unknown.

<sup>4</sup> [...] denotes suggestion for consideration to replace Fields 2.21-2.22 with a single menu field.

.30	Management contributing factors	See table 23 (multi-choice)
-----	---------------------------------	--------------------------------

For each "equipment failure" accidental event

.1	Subject – equipment system	See table 24
.2	Subject – equipment type	Text
.3	Type of equipment failure	See table 25
.4	Description of accidental event	Text
.5	Operational contributing factors	See table 22 (multi-choice)
.6	Management contributing factors	See table 23 (multi-choice)

For each "hazardous material effect" accidental event

.1	Subject – material type	See table 26
.2	Type of effect	See table 27
.3	Description of accidental event	Text

For each "environmental effect" accidental event

.1	Subject – phenomenon	See table 28
.2	Description of accidental event	Text

For each "external agencies" accidental event

.1	Subject – system	See table 29
.2	Task affected	See table 30
.3	Description of accidental event	Text
.4	Operational contributing factors	See table 22 (multi-choice)
.5	Management contributing factors	See table 23 (multi-choice)

\* \* \*



## APPENDIX 4

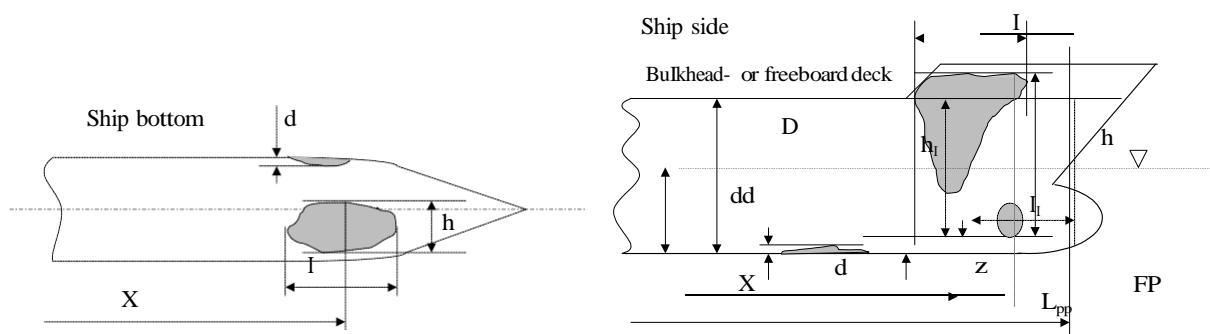
### SUPPLEMENTARY INFORMATION

**1 If "packaged marine dangerous goods or marine pollutants on board" (Field at appendix 2.2.2) – then complete following appendix 4 data.**

- 1.1 Cargo(es) involved
  - 1.1.1 Proper Shipping Name: UN Number:                      IMO Hazard Class:
  - 1.1.2 Name and address of manufacturer, or consignor, or consignee:
  - 1.1.3 Type of packaging/container:
  - 1.1.4 Quantity and condition of goods:
  - 1.1.5 Stowage/securing arrangements:
- 1.2 Pollution – goods lost overboard (yes/no):
  - If yes:
  - Lost goods floated or sank:
  - Lost goods released from packaging (yes/no):

**2 If "breach of hull causing flooding" (Field at appendix 2.4.9) AND "flooding/foundering" casualty event (Field at appendix 2.3.1) AND and 25 metres or more "length overall" (Field at appendix 2.1.8) – then complete following appendix 4 data**

- 2.1 Nature of damage:
- 2.2 Length between perpendiculars  $L_{pp}$ :
- 2.3 Moulded breadth B:
- 2.4 Moulded depth D (to bulkhead deck in passenger ships and freeboard deck in non-passenger ships, or to the uppermost completed deck if bulkhead or freeboard deck are not specified):
- 2.5 Draught before damage  $d_i$ :



- 2.6 Ship side (port/starboard/bottom):
- 2.7 Damage position (fore ship/afterbody/cargo hold/rudder/engine room/other):
- 2.8 Position (height) with reference to WL:
- 2.9 Damage type (below and above/above but not below/below but not above/within – the physical limits of the ship structure):
- 2.10 Distance from AP to centre of damage X:
- 2.11 Distance from base line to the lower point of damage Z:
- 2.12 Length of I: Height of h: Penetration d:
- 2.13 damage  $I_1$ : damage  $h_1$ : damage  $d_1$ :
- 2.14 dd mid: dd fore: dd aft: (draughts after damage):
- 2.15 dd mid calc:

- 2.16 Hole in ship: Y/N Struck ship: Y/N  
Ship to ship collision: Y/N Striking ship Y/N  
(If damage extends above bulkhead/freeboard deck, additional dimensions should be given for the part located below this deck, these being marked with suffix "1"):
- 2.17 Speed of damaged ship at time of impact in knots:
- 2.18 Speed of second ship at time of impact in knots:
- 2.19 Angle of encounter:
- 2.20 Did the ship sink: Y/N
- If so:
- 2.20.1 Time taken to sink and manner of sinking:
- 2.21 Appropriation of breached compartment(s) (e.g. machinery room, cargo hold, etc.):
- 2.22 Type and quantity of cargo in damaged compartment, if any:
- 2.23 Were there any special circumstances which influenced the results of damage (e.g. open watertight doors, manholes, side-scuttles or pipes, fractures, etc.)?:
- 2.24 Position of watertight bulkheads in vicinity of damage (distance from AP to each of them):
- 2.25 How many compartments flooded?:
- 2.26 Was there a double bottom in the damaged area? Y/N
- If so:
- 2.26.1 Indicate whether the inner bottom was breached:
- 2.27 Separate penetration from the bulbous bow? Y/N
- 2.28 Transverse subdivision bulkhead damaged? Y/N
- 2.29 Collision bulkhead damaged? Y/N
- 2.30 Damage assessment:
- 2.31 Any additional information considered useful:

**3 If "capsize/listing" casualty event (Field at appendix 2.3.1) OR "total loss of ship" (Field at appendix 2.4.7), AND 25 metres (15 metres for fishing vessels) or more in "length overall" (Field at appendix 2.1.8) – then complete following data**

- 3.1 Length between perpendiculars  $L_{pp}$ :
- 3.2 Moulded breadth B:
- 3.3 Moulded depth D (to bulkhead deck in passenger ships and freeboard deck in non-passenger ships, or to the uppermost completed deck if bulkhead or freeboard deck are not specified):
- 3.4 Draught amidships to assigned loadline or subdivision line:
- 3.5 Service conditions (light or loaded, with approximate percentage of cargo, stores, fuel and passengers):
- 3.6 Disposition of cargo:
- 3.7 Stowage factor of cargo:
- 3.8 Type and quantity of deck cargo, if any:
- 3.9 Quantity of water ballast, if any:
- 3.10 Wave length:
- 3.11 Wave height:
- 3.12 Direction of wind relative to ship's head (degrees):
- 3.13 Direction of waves relative to ship's head (degrees):
- 3.14 Speed of ship at time of casualty:
- 3.15 Name, length and height of enclosed superstructures and deckhouses above deck to which D was measured:
- 3.16 Bilge keels: width: longitudinal extent:
- 3.17 Depth of bar keel, if any:
- 3.18 Was water trapped on deck?

If so:

- 3.19 Indicate the extent:
- 3.20 Were all vulnerable openings effectively closed at time of casualty?:
- 3.21 Was the ship under action of helm at time of casualty?:
- 3.22 Were any special instructions relative to this ship in existence concerning the maintenance of stability, e.g. filling tanks, etc.?:
- 3.23 Were any voyage limits and/or weather restrictions imposed for the ship?:

For ship in fully loaded homogeneous arrival condition (with 10% stores, fuel, etc.):

- 3.24 Draught (amidships):
- 3.25 Displacement:
- 3.26 Centre of gravity above moulded base line:
- 3.27 Metacentric height (uncorrected):
- 3.28 Distance between the transverse metacentre and centre of buoyancy:
- 3.29 Reduction in GM due to any free surface of liquids:
- 3.30 Block coefficient of fineness of displacement:
- 3.31 Coefficient of fineness of midship section:
- 3.32 Coefficient of fineness of waterplane:
- 3.33 Height of centre of buoyancy above moulded base line:
- 3.34 Lateral are of ship's profile (including erections, etc.) exposed to wind:
- 3.35 Distance between centre of lateral area of ship's profile exposed to wind and corresponding waterline:
- 3.36 Estimated rolling period (P-S-P):
- 3.37 Rated amplitude of roll (maximum):
- 3.38 Angle of heel for immersion of uppermost continuous deck:
- 3.39 Righting levers based on centre of gravity corrected for any free surfaces, for the following angles of heel: 0°, 10°, 20°, 30°, 40°, 50°, 60°, 70°, 80°, 90°:
- 3.40 Maximum righting lever:
- 3.41 Angle of maximum stability:
- 3.42 Angle of vanishing stability:

For ship in condition at time of loss:

- 3.43 Draught (amidships):
- 3.44 Displacement:
- 3.45 Centre of gravity above moulded base line:
- 3.46 Metacentric height (uncorrected):
- 3.47 Distance between the transverse metacentre and centre of buoyancy:
- 3.48 Reduction in GM due to any free surface of liquids:
- 3.49 Block coefficient of fineness of displacement:
- 3.50 Coefficient of fineness of midship section:
- 3.51 Coefficient of fineness of waterplane:
- 3.52 Height of centre of buoyancy above moulded base line:
- 3.53 Lateral are of ship's profile (including erections, etc) exposed to wind:
- 3.54 Distance between centre of lateral area of ship's profile exposed to wind and corresponding waterline:
- 3.55 Estimated rolling period (P-S-P):
- 3.56 Rated amplitude of roll (maximum):
- 3.57 Angle of heel for immersion of uppermost continuous deck:
- 3.58 Righting levers based on centre of gravity corrected for any free surfaces, for the following angles of heel: 0°, 10°, 20°, 30°, 40°, 50°, 60°, 70°, 80°, 90°:
- 3.59 Maximum righting lever:
- 3.60 Angle of maximum stability:
- 3.61 Angle of vanishing stability:
- 3.62 Lightship displacement:
- 3.63 Centre of gravity above moulded base line:

(It is desirable to attach a sketch of statical stability curves, drawn for both the below loading conditions, using the following scales:

20mm for every 10° angle of inclination

10mm (or 20mm) for every 0.1 metre of righting lever)

**4      If "fire/explosion" casualty event (Field at appendix 2.3.1) AND "very serious" casualty severity (Field at appendix 2.3.2) – then complete following data.**

- 4.1      Wind direction:
- 4.2      Part of ship where fire broke out:
- 4.3      Explain how persons on board were alerted:
- 4.4      Means by which fire was initially detected: Fixed fire detection system/by ship's crew or passenger/not known:
- 4.5      Briefly, describe the performance of structural fire protection (fire resisting and fire retarding bulkheads, doors, decks, etc.) with respect to: containment and extinguishment of any fire in the space of origin, protection of means of escape or access for fire fighting, adequacy of structural fire protection:
- 4.6      Ship's portable fire-extinguishing equipment used (foam, dry chemical, CO<sub>2</sub>, water, etc.):
- 4.7      Fixed fire-extinguishing installations: at site of origin of fire (specify the type), adjacent areas (specify the type):
- 4.8      Were fixed fire-extinguishing systems used in an attempt to extinguish the fire?:
- 4.9      Did the use of fixed fire-extinguishing systems contribute to the extinguishment of the fire?:
- 4.10     Briefly explain the action taken by the crew to contain, control and suppress the fire and explosion in the space of origin:
- 4.11     Was outside assistance provided (e.g. fire department, other ship, etc.)?:
- If so:
- 4.12     What equipment was used?:
- 4.13     Determine qualifications and training of all ship's crew involved in the fire-fighting operations:
- 4.14     Report on whether company or industry procedures, including hot work procedures, were in place and relevant to the operation concerned:
- 4.15     If the procedures were in place, were they correctly implemented?:
- 4.16     Time taken to fight fire from first alarm: to control the fire; once controlled, to extinguish the fire:
- 4.17     Total duration of fire:
- 4.18     Damage caused by fire: loss of life or injuries to personnel, to the cargo, to the ship, release of pollutants:
- 4.19     Was there an adequate supply of air on board for self-contained breathing apparatus or was outside assistance needed to supply such air?:

**5      If "GMDSS used" (Field at appendix 2.3.5) – then complete following data.**

- 5.1      GMDSS sea area or sea areas for which radio equipment was installed:
- 5.2      GMDSS sea area:
- 5.3      Description of distress and safety radio communications, including particulars of: means of communication (radiotelegraphy, radiotelephony, INMARSAT SES, DSC, EPIRB) and frequencies used for distress alert by ship, distress relay by RCC, SAR coordinating communications; use of alarm signal; contents of distress message; RCC(s), ships, coast station or coast earth stations which acknowledged distress message (state time and position); language difficulties:
- 5.4      If the ship was abandoned, description of distress radio communications and location signals from survival craft:

- 5.5 If a satellite EPIRB or EPIRB was used for alerting and/or locating survivors, give details (frequency, type of activation, etc.) and which LUT/CES or coast station received the alerting signal:
- 5.6 Description of on-scene radio communications, including surface/air communications:
- 6 **If "oil cargo" (2.4.12) OR "oil bunkers" (2.4.13) OR "chemicals in bulk" (Field 2.4.14) OR "packaged dangerous goods and marine pollutants" (Field 2.4.15 "quantity spilled" or "lost overboard" total 50 tonnes or more – then complete following data.**

### Direct Natural Resources Damages

Loss of wildlife:	
.1	Impact on birds
.2	Impact on marine mammals
.3	Impact on fish
.4	Impact on the marine life, including invertebrates
Loss of fisheries:	
.1	Fin fish
.2	Shellfish
.3	Fish farming
Damage to the marine environment:	
Damage to the shore environment:	
Habitat Degradation:	
.1	Soft habitats (salt marshes, mangroves, mudflats)
.2	Shoreline (beaches)
.3	Rocky coasts/reefs, including coral
.1	No action
.2	Pending
.3	Action taken, i.e.

7 **If "life-saving appliances used" (Field at appendix 2.3.6) – then complete following data.**

- 7.1 Wave height (observed):
- 7.2 Sea temperature °C:
- 7.3 Air temperature °C:
- 7.4 Warm climates: Y/N:
- 7.5 Inflatable liferaft involved?
- If so:
- 7.5.1 Capacity: POB: Davit launched?: Y/N
- 7.6 Marine Evacuation System (MES) involved?
- If so:
- 7.6.1 Vertical? Slide?
- 7.7 Lifeboat involved?

If so:

7.7.1 Capacity: POB: Davit launched? Free fall?:

7.8 Buoyant apparatus involved?:

7.9 Ship's rescue boat involved?:

7.10 Launching appliances involved?:

If so:

7.10.1 Capacity: POB:

7.11 Other life-saving appliance involved?:

If so:

7.11.1 Capacity: POB:

7.12 Immersion suit used?:

7.13 Lifejacket used?:

7.14 Personal Flotation Device (PFD) other than a lifejacket used?:

7.15 Anti-exposure suit used?:

7.16 Lifebuoy used?:

7.17 Reason for deployment of life-saving appliance: emergency  
evacuation/abandonment / crew training / deployment as required by regulations /  
approval trials (give details):

\* \* \*

## **APPENDIX 5**

### **FIELD VALUE OPTION TABLES**

**Table 1**

#### **Marine safety investigating State/Administration/Nationality**

As per GISIS nomenclatures

**Table 2**

#### **Safety recommendation focus**

.1	Carriage of cargo
.2	Electrical installation
.3	Fire protection/fire-fighting equipment
.4	Human factors
.5	Life-saving equipment
.6	Machinery
.7	Operational practice
.8	Radio installation
.9	Safety of navigation
.10	Seaworthiness
.11	Stability
.12	Other
.13	No safety recommendations

**Table 3**

#### **Location of initial marine casualty or marine incident**

.1	At berth
.2	Anchorage
.3	Port
.4	Port approach
.5	Inland waters
.6	Canal
.7	River
.8	Archipelagos
.9	Coastal waters
.10	Open sea
.11	Unknown
.12	Strait/channel
.13	Traffic separation scheme
.14	Offshore installation

**Table 4**  
**Casualty event**

.1	Collision	own ship not under way
.2		with multiple ships
.3		with other ship
.4	Grounding	while drifting
.5		while under power
.6	Contact	with fixed object
.7		with floating object
.8		with flying object
.9	Fire/explosion	fire
.10		explosion
.11	Hull failure	
.12	Loss of control	loss of containment
.13		loss of directional control
.14		loss of electrical power
.15		loss of propulsion power
.16	Ship/equipment damage	
.17	Capsize/listing	capsize
.18		listing
.19	Flooding/foundering	flooding
.20		foundering
.21	Ship missing	
.22	Occupational accident	body movement under or with physical stress (generally leading to an internal injury)
.23		body movement without any physical stress (generally leading to an external injury)
.24		breakage, bursting, splitting, fall or collapse of material agent
.25		overflow, overturn, leak, flow, vaporization, emission of material agent
.26		electrical problems, explosion, fire
.27		loss of control of machine, means of transport or handling equipment, hand-held tool, object, animal
.28		shock, fright, violence, aggression, threat, presence
.29		slipping, stumbling, falling of person overboard
.30		slipping, stumbling, falling of person to a lower level
.31		Slipping, stumbling, falling of a person on the same level
.32		Others
.33	Other	
.34	Unknown	



**Table 5**

**Casualty event severity**

.1	Very serious marine casualty
.2	Marine casualty
.3	Marine incident

**Table 6**

**Sea state**

.1	0 – Calm glassy – (0m)
.2	1 – Calm rippled – (0 – 0.1m)
.3	2 – Smooth – (0.1 – 0.5m)
.4	3 – Slight – (0.5 – 1.25m)
.5	4 – Moderate – (1.25 – 2.5m)
.6	5 – Rough – (2.5 – 4m)
.7	6 – Very rough – (4 – 6m)
.8	7 – High – (6 – 9m)
.9	8 – Very high – (9 – 14m)
.10	9 – Phenomenal – (+14m)
.11	Unknown

**Table 7**

**Wind force**

.1	0 – Calm – knot (0 – 1) m/s (0 – 1)
.2	1 – Light air – knot (1 – 3) m/s (1 – 2)
.3	2 – Light breeze – knot (4 – 6) m/s (2 – 3)
.4	3 – Gentle breeze – knot (7 – 10) m/s (4 – 5)
.5	4 – Moderate breeze – knot (11 – 16) m/s (6 – 8)
.6	5 – Fresh breeze – knot (17 – 21) m/s (9 – 11)
.7	6 – Strong breeze – knot (22 – 27) m/s (11 – 14)
.8	7 – Near gale – knot (28 – 33) m/s (14 – 17)
.9	8 – Gale – knot (34 – 40) m/s (17 – 21)
.10	9 – Strong gale – knot (41 – 47) m/s (21 – 24)
.11	10 – Storm – knot (48 – 55) m/s (25 – 28)
.12	11 – Violent storm – knot (56 – 63) m/s (29 – 32)
.13	12 – Hurricane – knot (+64) m/s (+33)
.14	Beaufort Scale: Unknown

**Table 8**

**Natural light**

.1	Daylight
.2	Twilight
.3	Night
.4	Unknown

**Table 9**

**Visibility**

.1	Very poor – Vis < 0.5nm
.2	Poor – 0.5 <= Vis < 2nm
.3	Moderate – 2 <= Vis < 5nm
.4	Good – 5 <= Vis < 25nm
.5	Very good – Vis >= 25nm
.6	Unknown

**Table 10**

**Type of weather**

.1	Clear/partly cloudy
.2	Overcast
.3	Fog
.4	Rain
.5	Snow
.6	Humidity

**Table 11**

**Ice**

.1	Thickness (m) (drop down list)
.2	Percent coverage (drop down list)
.3	Type of ice (multi year, 1st year, etc.)

**Table 12**

**Ship operation/Task operation**

.1	Being towed		
.2	Emergency		
.3	Fishing	Gutting/handling/stowing fish	
.4		Preparing/stowing fishing gear	
.5		Shooting/hauling fishing gear	
.6		Towing fishing gear	

.7	Normal service	Alongside/moored/anchored	
.8		Ballasting/deballasting	
.9		Berthing	
.10		Bunkering	
.11		Cleaning/washing tanks	
.12		Dropping/hoisting anchor	
.13		Embarking/disembarking people	
.14		On passage	Displacement mode
.15			Non-displacement mode
.16			Transitional mode

.17		Loading	
.18		Maintenance	
.19		Manoeuvring	
.20		Open/close door, hatches, etc.	
.21		Repairing	
.22		Starting/stopping engine	
.23		Taking stores	
.24		Turning	
.25		Under pilotage	
.26		Unloading/discharging cargo	
.27		Water ballast exchange	
.28	Sailing	Beam reaching	
.29		Broad reaching	
.30		Close reaching	
.31		Cruising using engine	
.32		Head to wind	
.33		On the port/starboard tack	
.34		Running	
.35		Set and lower a sail	
.36		Tacking	
.37		Gybing	
.38	Special service	Disposal of residues/slops	
.39		Dredging	
.40		Drifting	
.41		Drilling	
.42		Gas freeing	
.43		Hove-to/dodging	
.44		Ice breaking	
.45		Idle, off-hire	
.46		In icebreaker assistance	
.47		Offshore support	
.48		Inerting	
.49		On watch	
.50		Replenishment at sea operations	
.51		Rowing/paddling	
.52		Ship-to-ship transfer of cargo	
.53		Towing/pushing	
.54		Trials/drills/tests	
.55		Under tow/push	
.56		Anchor handling	

.57	Other		
.58	Unknown		

**Table 13**

**Oil cargo/Bunker type & quantity**

	Dropdown list from MARPOL Annex 1, Appendix 1, applies to each item below	Quantity
.1	Asphalt solutions	
.2	Oils	
.3	Distillates	
.4	Gas Oil	
.5	Gasoline blending stocks	
.6	Gasolines	
.7	Jet fuels	
.8	Naphta	
.9	Unknown	
.10	None	

**Table 14**

**Dangerous Goods in packaged form**

Class (IMDG Code)	Proper Shipping Name	UN number	Quantity lost overboard
.1			
.2			
.3			
.4.1			
.4.2			
.4.3			
.5.1			
.5.2			
.6.1			
.6.2			
.7			
.8			
.9			

**Table 15**

**Chemicals in bulk pollution category**

		Quantity
.1	Category X	
.2	Category Y	
.3	Category Z	
.4	Category OS	
.5	Unknown	
.6	None	

**Table 16**

**Accident event**

.1	Human erroneous action
.2	Equipment failure
.3	Hazardous material effect
.4	Environmental effect
.5	External agencies
.6	Unknown

**Table 17**

**Rank**

.1	Master
.2	Chief mate
.3	Deck officer
.4	Chief engineer officer
.5	Second engineer officer
.6	Engineer officer
.7	Trainee cadet
.8	Radio personnel
.9	Rating deck
.10	Rating engine
.11	Others
.12	Electro-technical officer
.13	Electro-technical rating
.14	Skipper
.15	Other crew member
.16	Pilot
.17	Other non-crew member
.18	Unknown

**Table 18**

**Relevant training**

.1	Basic training	Personal survival techniques
.2		Fire prevention and fire fighting
.3		Elementary first aid
.4		Personal safety
.5		Basic safety familiarization
.6		Ship specific familiarization
.7	Advanced training	Advanced fire fighting
.8		Proficiency in survival craft and rescue boat
.9		Proficiency in fast rescue boat
.10		Shore-based fire fighting

.11	Specific training	Automatic Radar Plotting Aids
.12		Bridge team management
.13		Crane operation
.14		Crew resource management
.15		ECDIS
.16		GMDSS
.17		Oil tanker specialized
.18		Chemical tanker specialized
.19		Integrated bridge
.20		Liquefied gas tanker specialized
.21		Passenger ship familiarization
.22		Passenger ship safety
.23		Passenger ship crowd management
.24		Passenger ship crisis management
.25		Passenger ship safety, cargo safety, etc
.26		Ship/engine control
.27		Tanker familiarization
.28		Towing operations
.29		Dynamic positioning
.30	Training not according to national law	
.31	Other	
.32	None	
.33	Unknown	

**Table 19**

**Error type**

.1	Observation
.2	Interpretation
.3	Planning / Intention
.4	Action

**Table 20**

**Temporary related contributing factors (select all that applies)**

.1	Distraction
.2	Fatigue
.3	Fear
.4	Inattention
.5	Memory failure
.6	Performance variability
.7	Physical or physiological stress
.8	Psychological stress
.9	Alcohol or drugs
.10	Non-prescription/Prescription medication
.11	Other (specify)

**Table 21**

**Permanent related contributing factors**

.1	Cognitive bias
.2	Cognitive style
.3	Functional impairment

**Table 22**

**Operational contributing factors**

Social environment

.1	Less than adequate labour-management relations
.2	less than adequate communications
.3	Language problem
.4	Social and cultural barriers and conflicts
.5	Person-to-person conflict/animosity
.6	Inadequate safety/risk awareness
.7	Inappropriate or adventurous behaviour/comportment
.8	Resistance to change

Supervision

.9	Lack of coordination of tasks
.10	Inadequate work preparation
.11	Inadequate briefing/instruction
.12	Lack of resources
.13	Poor Supervision
.14	Inadequate work procedures
.15	Conflicting orders/priorities
.16	Inappropriate peer pressure
.17	

Manning

.18	Long working periods, excessive overtime
.19	Frequent change of watch schedule
.20	Inappropriate person assigned
.21	Too high work load/low work load
.22	Idleness, waiting
.23	Low job satisfaction, monotony
.24	Lack of responsibility for own job
.25	Inadequate manning

#### Personnel

.26	Lack of motivation/morale
.27	Lack of skill
.28	Lack of knowledge
.29	Less than adequate physical/physiological capability
.30	Less than adequate mental and psychological state

#### Workplace conditions

.31	Anthropometric factors, dimensions
.32	Lack of information, inadequately presented information
.33	Display design, controls
.34	Inadequate illumination
.35	Hazardous/disorderly workplace

#### Internal environment

.36	Noise, vibration
.37	Sea motion, acceleration
.38	Temperature, humidity
.39	Toxic substance, other health hazards
.40	Lack of oxygen

#### Inadequate tools and equipment

.41	Right tools and equipment unavailable
.42	Less than adequate assessment of needs and risks
.43	Inadequate tool or aid
.44	Inadequate standards or specifications
.45	Use of wrong equipment

#### Maintenance

.46	Failure not detected during maintenance
.47	Lack of maintenance
.48	Inadequate maintenance
.49	Improper performance of maintenance/repair
.50	System out of operation

#### Navigational/Geographical constraints

.51	High traffic density hinders vessel control
.52	Hindrances in the seaway
.53	Restricted fairway/channel



### Emergency response

.54	Contingency plans not followed
.55	Inadequate/lack of training
.56	Lacks initiative to deal with emergencies
.57	Training ignored
.58	Inadequate control of life-saving equipment
.59	Lack of command and control
.60	Inadequate/erroneous information to passengers

**Table 23**

### **Management/organizational contributing factors**

#### Impact on business climate

.1	Economic conditions
.2	Market change
.3	Bad relation with other organization
.4	Extreme competition

#### Organization and general management

.5	Policy, ethical values
.6	Focus on liability and punishment
.7	Communication policy
.8	Standard set by example
.9	Company loyalty and commitment
.10	Response to feedback from employees
.11	Ship undermanned
.12	Support from land organization
.13	Too wide control span
.14	Authoritarian command style
.15	Unclear roles and responsibility
.16	Cross-pressure from schedule and economy
.17	Lack of communication and coordination

#### Operations management

.18	Pressure to keep schedule and costs
.19	Inadequate procedures and checklists
.20	No review of critical tasks/operations
.21	Management training

#### Safety and environmental management

.22	Critical system and cargo documentation
.23	Inspection/internal audits
.24	Follow-up of non-conformities
.25	Incident reporting, analysis, improvement

.26	Work instruction
.27	Concern for quality improvement
.28	Inadequate promotion of safety
.29	Less than adequate safety plan and programme
.30	Less than adequate formal safety assessment, risk analysis

#### Occupational health management

.31	Information about health risks
.32	Personal protective equipment
.33	Health control of personnel
.34	Workplace inspections
.35	Substandard hygiene on board
.36	Less than adequate medical services provided
.37	Follow-up of programmes and plans
.38	No off-the-job safety policy

#### Personnel management

.39	Hiring and selection policy
.40	Inadequate training programme
.41	Selection / training of officers
.42	Control with use of overtime
.43	Opportunity for advancement
.44	High turnover, lack of continuity

#### System acquisition

.45	Substandard components
.46	Substandard contractors
.47	Control of contractors
.48	Verification of contract requirements
.49	Inadequate testing

#### Design

.50	Deviation from standards/specifications
.51	Inappropriate regulations
.52	Design error
.53	Less than adequate design verification
.54	Less than adequate system review and evaluation
.55	Less than adequate change management

Maintenance policy

.56	Lack of priority to maintenance
.57	Lack of competent repair personnel
.58	Less than adequate planning
.59	Lack of follow-up and compliance check

Emergency preparedness

.60	Emergency plans
.61	Emergency procedures
.62	Management training
.63	Crisis handling
.64	Maintenance of life-saving equipment
.65	Inadequate fire-fighting equipment
.66	Emergency training programme
.67	Life-saving equipment
.68	Lack of decision support
.69	Lack of warning systems

Regulatory activities

.70	Regulatory procedures
.71	Regulatory standards
.72	Regulation
.73	Inspection and survey
.74	Monitoring
.75	Surveillance
.76	Audit
.77	Checks

**Table 24**

**Equipment system**

.1	Auxiliary machinery
.2	Ballast
.3	Bilge, drain
.4	Cargo
.5	Cargo securing
.6	Cargo tank venting
.7	Navigational lights or sound signals
.8	Compressed air
.9	COW
.10	Deck machinery
.11	Doors, hatches, ports, etc.
.12	Dredging
.13	Electrical appliances
.14	Electrical installation

.15	Exhaust gas
.16	Fire protection
.17	Fishing gear
.18	Fixtures/fitting
.19	Freshwater
.20	Fuel
.21	IGS
.22	Internal communication, alarms except related to fire
.23	Life-saving appliances
.24	Lifting appliances
.25	Lubrication
.26	Manoeuvrability/DP system
.27	Shipborne Navigational equipment and systems (drop down list include: RADAR, ECDIS, Echo Sounders, GPS, Magnetic compass, Gyro compass, NAVTEX receiver, AIS)
.28	Pollution prevention
.29	Propulsion machinery
.30	Radio communication
.31	Sewage
.32	Ship structure
.33	Stability calculations/loading instrument
.34	Steam generation
.35	Stripping
.36	Ventilation
.37	Welding appliances
.38	Other
.39	Unknown
.40	CCTV

**Table 25**

**Type of equipment failure**

.1	Structure failure	Deformation (bulges, deflections, buckling)
.2		Fractured (breaks or incipient cracks)
.3		Penetrated, holed
.4	Containment failure	
.5	Physical binding or jamming	
.6	Vibration	
.7	Fails to remain (in position)	
.8	Fails to open	
.9	Fails to close	
.10	Fails open	
.11	Fails closed	
.12	Internal leakage	
.13	External leakage	
.14	Fails out of tolerance (high)	
.15	Fails out of tolerance (low)	
.16	Inadvertent operation	
.17	Intermittent operation	
.18	Erratic operation	

.19	Erroneous indication	
.20	Restricted flow	
.21	False actuation	
.22	Fails to stop	
.23	Fails to start	
.24	Fails to switch	
.25	Premature operation	
.26	Delayed operation	
.27	Erroneous input (increased)	
.28	Erroneous input (decreased)	
.29	Erroneous output (increased)	
.30	Erroneous output (decreased)	
.31	Loss of input	
.32	Loss of output	
.33	Shorted (electrical)	
.34	Open (electrical)	
.35	Leakage (electrical)	
.36	Other	
.37	Unknown	

**Table 26**

**Hazardous material type**

.1	Cargo	
.2	Deck stores	
.3	Engine stores	
.4	Fuel	
.5	Provisions	
.6	Residues/wastes	Oily waste
.7		NLS waste
.8		Garbage
.9		Sewage
.10		Ozone-depleting substances
.11		Exhaust gas-cleaning residues
.12	Other	
.13	Unknown	

**Table 27**

**Type of hazardous material effect**

.1	Cargo liquefaction	
.2	Cargo shifting	
.3	Chemical reaction	Corrosive effects
.4		Dust effects
.5		Explosive mixture
.6		Poisoning
.7		Flammable mixture
.8		Radiation
.9		Spontaneous combustion
.10		Toxic fumes or gas
.11	Insufficient stability	
.12	Overflow/leak/escape	
.13	Oxygenation	
.14	Structural damage	
.15	Other	
.16	Unknown	

**Table 28**

**Environmental effect phenomenon**

.1	Wind
.2	Wave
.3	Current
.4	Tide
.5	Shallow water
.6	Channel effect
.7	Hydrostatic head
.8	Light
.9	Whiteout
.10	Fog, haze, smoke
.11	Rain, snow, hail
.12	Ice
.13	Icing
.14	Debris
.15	Multi-phenomenon
.16	Other ship interference
.17	Uncharted underwater obstruction
.18	Rope/net (own ship's)
.19	Rope/net (other ship's or source unknown)
.20	Natural disaster/tsunami
.21	Other
.22	Unknown

**Table 29**

**External agencies system**

.1	Coastal VTS
.2	Navigation aids
.3	Navigation sign, buoy, etc.
.4	Pilot service
.5	Pollution response
.6	Port VTS
.7	SAR Centre
.8	SAR craft
.9	Towing service
.10	Other
.11	Unknown

**Table 30**

**External agencies task affected**

.1	Monitoring
.2	Coordination
.3	Communication
.4	Planning
.5	Operation
.6	Other
.7	Unknown

\*\*\*





**ANNEX 6**

**DRAFT MSC.1 CIRCULAR  
APPLICATION OF SOLAS REGULATIONS XII/3, XII/7 AND XII/11**

1 The Maritime Safety Committee, at its [ninety-second session (12 to 21 June 2013)], approved the circular on the application of SOLAS regulations XII/3, XII/7 and XII/11 prepared by the Sub-Committee on Flag State Implementation, as set out in the annex, with a view to providing more specific guidance for application of the relevant requirements of the SOLAS Convention.

2 Member Governments are invited to use the annexed as guidance when applying relevant provisions of the SOLAS Convention and to bring it to the attention of all parties concerned.

\* \* \*

## ANNEX

### APPLICATION OF SOLAS REGULATIONS XII/3, XII/7 and XII/11

#### Meaning of the term "Periodical Survey"

1 In SOLAS regulations XII/3, XII/7 and XII/11, the term "periodical" survey has been used to refer to the dates by which the requirements under these regulations are to be complied with. Since the requirements under SOLAS chapter XII mainly deal with the hull structure, it is necessary that the above-mentioned threshold dates are associated with the examination of the outside of the ship's bottom. Therefore, the term "periodical survey" referred to in SOLAS chapter XII is linked to the surveys which are associated with an examination of the outside of the ship's bottom i.e. the intermediate surveys and renewal surveys for the Cargo Ship Safety Construction Certificate, or the Cargo Ship Safety Certificate, as mentioned in SOLAS regulations I/10 and I/12, as modified by the 1988 SOLAS Protocol.

2 Considering that the terms "intermediate survey" or "renewal survey" have been used in all IMO instruments, instead of the term "periodical survey", after the 1988 SOLAS Protocol entered into force, the Administrations, may note that the meaning of the term "periodical survey" in the context of SOLAS regulations XII/3, XII/7 and XII/11, is the same as "renewal survey" or "intermediate survey" of a ship, as referred to in SOLAS regulation I/10, as modified by the 1988 SOLAS Protocol.

\*\*\*

## **ANNEX 7**

### **DRAFT ASSEMBLY RESOLUTION**

#### **AMENDMENTS TO THE SURVEY GUIDELINES UNDER THE HARMONIZED SYSTEM OF SURVEY AND CERTIFICATION (HSSC), 2011**

THE ASSEMBLY,

RECALLING Article 15(j) of the Convention on the International Maritime Organization concerning the functions of the Assembly in relation to regulations and guidelines regarding maritime safety and the prevention and control of marine pollution from ships,

RECALLING ALSO the adoption by:

- (a) the International Conference on the Harmonized System of Survey and Certification, 1988, of the Protocol of 1988 relating to the International Convention for the Safety of Life at Sea, 1974 and of the Protocol of 1988 relating to the International Convention on Load Lines, 1966, which, inter alia, introduced the harmonized system of survey and certification into the International Convention for the Safety of Life at Sea, 1974 and the International Convention on Load Lines, 1966, respectively;
- (b) resolution MEPC.39(29) of amendments to introduce the harmonized system of survey and certification into the International Convention for the Prevention of Pollution from Ships, 1973, as modified by the 1978 Protocol relating thereto (MARPOL 73/78);
- (c) resolution MEPC.132(53) of amendments to introduce the harmonized system of survey and certification into MARPOL Annex VI; and
- (d) the resolutions given below of amendments to introduce the harmonized system of survey and certification into:
  - (i) the International Code for the Construction and Equipment of Ships Carrying Dangerous Chemicals in Bulk (IBC Code) (resolutions MEPC.40(29) and MSC.16(58));
  - (ii) the International Code for the Construction and Equipment of Ships Carrying Liquefied Gases in Bulk (IGC Code) (resolution MSC.17(58)); and
  - (iii) the Code for the Construction and Equipment of Ships Carrying Dangerous Chemicals in Bulk (BCH Code) (resolutions MEPC.41(29) and MSC.18(58)),

RECALLING ALSO that, by resolution A.1053(27), it adopted the *Survey Guidelines under the Harmonized System of Survey and Certification, 2011* (hereinafter referred to as "the Survey Guidelines") with a view to assisting Governments in implementing the requirements of the aforementioned instruments,

RECOGNIZING the need for the Survey Guidelines to be further revised to take account of the amendments to the IMO instruments referred to above, which have entered into force or become effective since the adoption of resolution A.1053(27),

HAVING CONSIDERED the recommendations made by the Marine Environment Protection Committee, at its [sixty-fifth] session, and the Maritime Safety Committee, at its [ninety-second] session,

1. ADOPTS the amendments to the Survey Guidelines under the Harmonized System of Survey and Certification (HSSC), 2011, as set out in the annex to the present resolution;
2. INVITES Governments carrying out surveys required by the relevant IMO instruments to apply the provisions of the annexed Survey Guidelines;
3. REQUESTS the Maritime Safety Committee and the Marine Environment Protection Committee to keep the Survey Guidelines under review and amend them as necessary.

\* \* \*

ANNEX

**AMENDMENTS TO THE SURVEY GUIDELINES UNDER  
THE HARMONIZED SYSTEM OF SURVEY AND CERTIFICATION, 2011  
(RESOLUTION A.1053(27))**

**Note:** The struck-out text indicates deletions and the underlined text shows additions or changes to the Survey Guidelines.

1 Amendments to General – 1 Introduction:

1.2 These Guidelines take into account amendments to statutory instruments which have entered into force up to and including 31 December ~~2011~~2013 (see appendix 1) and contain the following:

2 Amendments to General – 3 Application and Arrangement of the Guidelines

3.4 When appropriate, the detailed requirements for the various surveys contain a section that is applicable to all cargo ships followed by a section that only applies to ~~oil tankers~~ specific ship types.

3.8bis For the application of these Guidelines, the following guidance on terms used in the survey requirements is provided:

.1 "Examining" except where used in "examining the plans" or "examining the design" should be understood as a thorough examination, using appropriate techniques, of the components, system or appliance in question for satisfactory provision, arrangement and condition and for any signs of defects, deterioration or damage;

.2 "Testing" should be understood as a functional test of the system or appliance in question, to confirm its satisfactory operation and performance for its intended use.

3 Amendments to annex 1 - Survey Guidelines under the 1974 SOLAS Convention as modified by the 1988 Protocol relating thereto – (E) 1 Guidelines for Surveys for the Cargo Ship Safety Equipment Certificate:

(EI) 1.1.1.1 examining the plans for the fire pumps including the emergency fire pump<sup>1</sup>, if applicable, fire mains, hydrants, hoses and nozzles and the international shore connection (SOLAS 74/00 regs.II-2/10.2 and 10.4.4 and FSSC chs.2 and 12)

(EI) 1.1.1.6 checking the provision of a fixed fire detection and fire alarm system for machinery spaces including periodically unattended machinery spaces and enclosed spaces containing incinerators (SOLAS 74/00/10 regs.II-2/7.2, 7.3 and 7.4; FSSC ch. 9) (SOLAS 74/88 regs.II-2/13 and 14);

---

<sup>1</sup> Refer to the unified interpretation of chapter 12 of the FSS Code, MSC.1/Circ.1388.

- (EI) 1.1.1.14 examining the plans for the special arrangements for the carriage of dangerous goods, when appropriate, including water supplies, electrical equipment and wiring, fire detection including sample extraction smoke detection systems, where applicable, ventilation, bilge pumping, personnel protection and any water spray system (SOLAS 74/00 reg.II-2/19 (except 19.3.8, 19.3.10 and 19.4); FSSC chs.9 and 10) (SOLAS 74/88 reg.II-2/54);
- (EI) 1.1.1.16 examining, where applicable, the approved documentation for the alternative design and arrangements (SOLAS 00/06 regs. II-2/17 and III/38);
- (EI) 1.1.1.17 examining the design of the survival craft, including their construction equipment, fittings, release mechanisms launching and recovery appliances and embarkation and launching arrangements (SOLAS 74/96/06/11 regs.III/ 4,16, 31, 32 to 33; LSAC sections. 3.2, 4.1 to 4.9, 6.1 and 6.2);
- (EI) 1.1.1.30 checking the plans provision and specification of for the pilot transfer arrangement, the pilot ladders, the combination arrangements, where applicable, the access to the ship's deck and the associated equipment and lighting and hoists/pilot transfer arrangements(SOLAS 74/88/10 reg.V/23);
- (EI) 1.1.2 For the examination of plans and designs of the life-saving appliances and the other equipment of cargo ships the additional requirements for oil-tankers should consist of:
- (EI) 1.1.2.1 examining the plans for the cargo tank protection (SOLAS 74/00 regs.II-2/4.5.3, 4.5.5, 4.5.6, ~~4.5.7~~ and 10.8; FSSC chs.14 and 15) (SOLAS 74/88 regs.II-2/60 and 62); and
- (EI) 1.1.2.1bis examining the plans for gas measurement in double-hull spaces and double bottom spaces, including the fitting of permanent gas sampling lines, where appropriate (SOLAS 10 reg.II-2/4.5.7.2)
- (EI) 1.1.2.1ter examining, for oil tankers of 20,000 tonnes deadweight and above, the plans for the fixed hydrocarbon gas detection system for measuring hydrocarbon gas concentrations in all ballast tanks and void spaces of double-hull and double-bottom spaces adjacent to the cargo tanks, including the forepeak tank and any other tanks and spaces under the bulkhead deck adjacent to cargo tanks (SOLAS 10 reg.II-2/4.5.7.3 and FSSC ch.16);

- (EI) 1.1.3.1 examining the fire pumps and fire main and the disposition of the hydrants, hoses and nozzles and the international shore connection and checking that each fire pump, including the emergency fire pump, can be operated separately so that two jets of water are produced simultaneously from different hydrants at any part of the ship whilst the required pressure is maintained in the fire main; and testing that the emergency fire pump has the required capacity, and if the emergency fire pump is the main supply of water for any fixed fire-extinguishing system, checking that that the emergency fire pump has the capacity for this system<sup>1</sup> (SOLAS 74/00 reg.II-2/10.2; FSSC chs.2 and 12) (SOLAS 74/88 regs.II-2/4 and 19);
- (EI) 1.1.3.8 examining any fire detection and alarm system and any automatic sprinkler, fire detection and fire alarm system, and any sample extraction smoke detection system and confirming that installation tests have been satisfactorily completed (SOLAS 74/00/10 regs.II-2/7.2, 7.3, 7.4, 7.5.1, 7.5.5, 19.3.3 and 20.4; FSSC chs.9 and 10) (SOLAS 74/88 regs.II-2/11, 13, 14, 53 and 54);
- (EI) 1.1.3.11bis examining, where applicable, the alternative design and arrangements for fire safety or life-saving appliances and arrangements, in accordance with the test and inspection requirements, if any, specified in the approved documentation (SOLAS 00/06 regs. II-2/17 and III/38);
- (EI) 1.1.3.35 checking the provision of the pilot transfer arrangement, the access to the ship's deck and the associated equipment and lighting, checking the and, as appropriate, the deployment or operation of the pilot ladders and hoists/pilot transfer the combination arrangements (SOLAS 74/00/10 reg.V/23);
- (EI) 1.1.4 For the life-saving appliances and the other equipment of cargo ships for the additional requirements for oil tankers the survey during construction and after installation should consist of:
- (EI) 1.1.4.5 examining, for all tankers, the arrangements for cargo tank protection, (SOLAS 74/00/10 regs. II-2/4.5.3, 4.5.6, and 10.8; FSSC chs. 14 and 15) (SOLAS 74/88 regs II-2/60 and 62);
- (EI) 1.1.4.6 checking, for all tankers, the provision of at least one portable instrument for measuring oxygen and one for measuring flammable vapour concentrations, together with a sufficient set of spares, and suitable means for the calibration of these instruments (SOLAS 10 reg. II-2/4.5.7.1);
- (EI) 1.1.4.7 examining the arrangements for gas measurement in double-hull spaces and double bottom spaces, including the fitting of permanent gas sampling lines, where appropriate (SOLAS 10 reg. II-2/4.5.7.2)

- (EI) 1.1.4.8 examining, for oil tankers of 20,000 tonnes deadweight and above, the fixed hydrocarbon gas detection system for measuring hydrocarbon gas concentrations in all ballast tanks and void spaces of double-hull and double-bottom spaces adjacent to the cargo tanks, including the forepeak tank and any other tanks and spaces under the bulkhead deck adjacent to cargo tanks, and confirming that the installation tests have been satisfactorily completed (SOLAS 10 reg. II-2/4.5.7.3 and FSSC ch.16);
- (EI) 1.1.5.3bis confirming that, where applicable, the approved documentation for the alternative design and arrangement is on board (SOLAS 00/06 regs.II-2/17 and III/38);
- (EI) 1.1.5.9bis checking that records are provided, identifying any pilot ladders placed into service (SOLAS 10 reg.V/23.2.4);
- (EI) 1.1.5.11 checking that the International Code of Signals and an up-to-date copy of Volume III of the International Aeronautical and Maritime Search and Rescue (IAMSAR) Manual have been provided. (SOLAS 74/00/02 reg.V/21);
- (EI) 1.1.6 For the life-saving appliances and the other equipment of cargo ships, concerning the additional requirements for oil-tankers the check that the required documentation has been placed on board should consist of:
- (EI) 1.1.6.2 confirming that the operating and maintenance instructions for the fixed hydrocarbon gas detection system are provided (SOLAS 10 reg. II-2/4.5.7.3 and FSSC ch. 16),
- (EA) 1.2.1.11bis confirming when appropriate, the validity of the International Energy Efficiency Certificate (MARPOL Annex VI reg.6.4 and 6.5);
- (EA) 1.2.1.15 confirming that, where applicable, the approved documentation for the alternative design and arrangements is on board (SOLAS 00/06 regs. II-2/17 and III/38);
- (EA) 1.2.1.23bis confirming that, where applicable, a factual statement has been provided onboard by the lifeboat release and retrieval system manufacturer or one of their representatives, that confirms the successful completion of the overhaul examination of an existing lifeboat release and retrieval system found to be compliant with paragraphs 4.4.7.6.4 to 4.4.7.6.6 of the LSA Code, or, alternatively, that a statement of acceptance of the installation of a replacement release and retrieval system to an existing lifeboat is available (SOLAS 11 reg. III/1.5; LSAC section 4.4.7.6)
- (EA) 1.2.1.30 checking that the International Code of Signals and an up-to-date copy of Volume III of the International Aeronautical and Maritime Search and Rescue (IAMSAR) Manual have been provided. (SOLAS 74/00/02 reg.V/21);
- (EA) 1.2.1.30bis checking that records are maintained identifying any pilot ladders placed into service and any repair effected (SOLAS 10 reg. V/23.2.4);



- 
- (EA) 1.2.1.32 checking that records of navigational activities and daily reporting have been maintained (SOLAS 74/00/04-03 reg.V/28);
- (EA) 1.2.2.8 examining, as far as possible, and testing, as feasible, any fire detection and alarm system and any sample extraction smoke detection system (SOLAS 74/00/10 regs.II-2/7.2, 7.3, 7.4, 7.5.1, 7.5.5, 19.3.3 and 20.4; FSSC chs.9 and 10) (SOLAS 74/88 regs.II-2/11, 13, 14, 53 and 54);
- (EA) 1.2.2.13bis examining, where applicable, the alternative design and arrangements for fire safety or life-saving appliances and arrangements, in accordance with the test, inspection and maintenance requirements, if any, specified in the approved documentation (SOLAS 00/06 regs. II-2/17 and III/38);
- (EA) 1.2.2.17 examining each survival craft, including its equipment and, when fitted, the on-load release mechanism and hydrostatic lock and, for inflatable liferafts, the hydrostatic release unit and float-free arrangements. Checking that the hand-held flares are not out of date (SOLAS 74/00 regs.III/16, 20 and 31; LSAC sections 2.5, 3.1 to 3.3, 4.1.5, 4.4.7 and 4.4.8);
- (EA) 1.2.2.35 checking the provision, and operation ~~and the annual test has been carried out for~~ of the automatic identification system, where fitted, and whether the annual test has been carried out and a copy of the test report is on board (SOLAS 74/00/04/10 regs.V/18.9 and 19);
- (EA) 1.2.2.37 checking the provision and specification of the pilot ladders and ~~hoists~~/pilot transfer arrangements (SOLAS 74/00/10 reg.V/23);
- (EA) 1.2.3 For the life-saving appliances and the other equipment of cargo ships, concerning the additional requirements for ~~oil~~-tankers the annual survey should consist of:
- (EA) 1.2.3.4bis checking for all tankers, the provision of at least one portable instrument for measuring oxygen and one for measuring flammable vapour concentrations, together with a sufficient set of spares, and suitable means for the calibration of these instruments (SOLAS 10 reg. II-2/4.5.7.1);
- (EA) 1.2.3.4ter examining the arrangements for gas measurement in double-hull spaces and double bottom spaces, including the fitting of permanent gas sampling lines, where appropriate (SOLAS 10 reg. II-2/4.5.7.2)
- (EA) 1.2.3.4quad examining, as far as possible and testing the fixed hydrocarbon gas detection system (SOLAS 10 reg. II-2/4.5.7.3 and FSSC ch. 16);
- (EP) 1.3.2.4 testing any fire detection and alarm system and any sample extraction smoke detection system (SOLAS 74/00/10 regs.II-2/7.2, 7.3, 7.4, 7.5.5, 19.3.3 and 20.4; FSSC chs.9 and 10) (SOLAS 74/88 regs.II-2/11, 13, 14, 53 and 54);
- (EP) 1.3.3 for the life-saving appliances and the other equipment for the additional requirements for ~~oil~~-tankers the periodical survey should consist of:
-

- (ER) 1.4.3 for the life-saving appliances and the other equipment of cargo ships, concerning the additional requirements for oil-tankers the renewal survey should consist of:

4 Amendments to annex 1 - Survey Guidelines under the 1974 SOLAS Convention as modified by the 1988 Protocol relating thereto – (C) 2 Guidelines for Surveys for the Cargo Ship Safety Construction Certificate:

- (CI) 2.1.1.1*bis* examining plans to verify that bulk carriers of 150 m in length and above, where appropriate, meet the applicable structural requirements of an organization recognized by the Administration, or national standards of the Administration, conforming to the functional requirements of the Goal-based Ship Construction Standards for Bulk Carriers and Oil Tankers (SOLAS 10 reg. II-1/3-10);
- (CI) 2.1.1.6 examining, where applicable, the approved documentation for the alternative design and arrangements (SOLAS 00/06 regs. II-1/55 and II-2/17);
- (CI) 2.1.2.8 examining plans to verify that oil tankers of 150 m in length and above, where appropriate, meet the applicable structural requirements of an organization recognized by the Administration, conforming to the functional requirements of the Goal-based Ship Construction Standards for Bulk Carriers and Oil Tankers (SOLAS 10 reg. II-1/3-10);
- (CI) 2.1.3.1*bis* confirming in accordance with the survey plan, that bulk carriers of 150 m in length and above, where appropriate, meet the applicable structural requirements of an organization recognized by the Administration, or national standards of the Administration, conforming to the functional requirements of the Goal-based Ship Construction Standards for Bulk Carriers and Oil Tankers (SOLAS 10 reg. II-1/3.10);
- (CI) 2.1.3.17 confirming and recording the ability of the machinery to reverse the direction of the thrust of the propeller in sufficient time and to bring the ship to rest within a reasonable distance, including the effectiveness of any supplementary means of manoeuvring or stopping the ship<sup>2</sup> (SOLAS 74/88 reg. II-1/28);
- (CI) 2.1.3.18 confirming that the main and auxiliary steering gear are so arranged that the failure of one of them does not render the other inoperative<sup>2</sup> (SOLAS 74/88 reg. II-1/29);
- (CI) 2.1.3.21 confirming that the main steering gear is capable of steering the ship at maximum ahead service speed and is capable of putting the rudder over from 35° on one side to 35° on the other side with the ship at its deepest seagoing draught<sup>3</sup> and running ahead at maximum ahead service speed and, under the same conditions, from 35° on either side to 30° on the other side in not more than 28s<sup>2</sup> (SOLAS 74/88 reg. II-1/29);

---

<sup>2</sup> For ships fitted with alternative propulsion and steering arrangements other than traditional arrangement, such as but not limited to, azimuthing propulsors or water jet propulsion systems, refer to MSC.1/Circ.1416.

<sup>3</sup> For trials with the ship not at the deepest sea going draught, refer to MSC.1/Circ.1425.

- (CI) 2.1.3.22 confirming that the auxiliary steering gear is capable of steering the ship at navigable speed and of being brought speedily into action in an emergency and that it is capable of putting the rudder over from 15° on one side to 15° on the other side in not more than 60 s with the ship at its deepest seagoing draught and running ahead at one half of the maximum ahead service speed or 7 knots, whichever is the greater<sup>2</sup> (SOLAS 74/88 reg.II-1/29);
- (CI) 2.1.3.24 confirming that, where the main steering gear comprises two or more identical power units and an auxiliary steering gear is not fitted, a defect can be isolated so that steering capability can be maintained or speedily regained after a single failure in its piping system or in one of the power units<sup>2</sup> (SOLAS 74/88 reg.II-1/29);
- (CI) 2.1.3.53bis examining, where applicable, the alternative design and arrangements for machinery or electrical installations, or fire safety, in accordance with the test and inspection requirements, if any, specified in the approved documentation (SOLAS 00/06 regs. II-1/55 and II-2/17);
- (CI) 2.1.3.60 confirming that installed materials do not contain asbestos<sup>4</sup> (SOLAS 74/00/09 reg.II-1/3-5);
- (CI) 2.1.3.62bis prior to the review of the coating technical file:
- (CI) 2.1.3.62bis.1 checking that the Technical Data Sheet and Statement of Compliance or Type Approval Certificate comply with the Standard;
- (CI) 2.1.3.62bis.2 checking that the coating identification on representative containers is consistent with the coating identified in the Technical Data Sheet;
- (CI) 2.1.3.62bis.3 checking that the inspector is qualified in accordance with the qualification standards;
- (CI) 2.1.3.62bis.4 checking that the inspector's reports of surface preparation and the coating's application indicate compliance with the manufacturer's Technical Data Sheet and Statement of Compliance or Type Approval Certificate; and
- (CI) 2.1.3.62bis.5 monitoring the implementation of the coating inspection requirements.
- (CI) 2.1.3.62ter reviewing the Coating Technical File (SOLAS 74/00/06/10 regs. II-1/3-2 and II-1/3-11; MSC.215(87) and MSC.288(87));
- (CI) 2.1.3.63 confirming for oil tankers and bulk carriers, when appropriate, the provision of means of access to cargo and other spaces in accordance with the arrangements in the Ship Structures Access Manual (SOLAS 74/00/02/04 reg. II-1/3-6, SOLAS 10 regs. II-1/3-10 and MSC.287(87));

---

<sup>4</sup> Guidance on the means to verify that installed materials do not contain asbestos is contained in MSC.1/Circ.1426 on Unified interpretation on the implementation of SOLAS regulation II-1/3-5 and MSC.1/Circ.1379

- (CI) 2.1.4.1*bis* confirming in accordance with the survey plan, that oil tankers of 150 m in length and above, where appropriate, meet the applicable structural requirements of an organization recognized by the Administration, or national standards of the Administration, conforming to the functional requirements of the Goal-based Ship Construction Standards for Bulk Carriers and Oil Tankers (SOLAS 10 reg. II-1/3-10);
- (CI) 2.1.4.9 confirming that all cargo oil tanks in crude oil tankers have either:
- (CI) 2.1.4.9.1 been coated in accordance with MSC.288(87); or
- (CI) 2.1.4.9.2 been protected by alternative means of corrosion protection or utilization of approved corrosion resistance material (steel) in accordance with MSC.289(87) (SOLAS 10 reg. II-1/3-11).
- (CI) 2.1.5.1 the provisions of (CI) 2.1.4 except (CI) 2.1.4.1*bis*.
- (CI) 2.1.6.1 confirming that the stability information and the damage control plans and damage control booklets have been provided (SOLAS 74/88 regs.II-1/22 and 23-1) (SOLAS 06 regs.II-1/5-1 and 19);
- (CI) 2.1.6.3 confirming that the approved Cargo Securing Manual for ships carrying cargo units including containers is provided on board (SOLAS 74/94 98 reg.VI/5.6);
- (CI) 2.1.6.6 confirming when appropriate that a coating technical file reviewed by the Administration has been provided on board (SOLAS 74/00/06/10 regs.II-1/3-2 and 3-11);
- (CI) 2.1.6.7*bis* confirming, for oil tankers and bulk carriers of 150 m in length and above, that the Ship Construction File has been provided (SOLAS 10 reg. II-1/3-10 and MSC.290(87));
- (CI) 2.1.6.7*ter* confirming, when appropriate, that a technical file verified by the Administration has been provided on board (SOLAS 10 reg. II-1/3-11 and MSC.289(87));
- (CA) 2.2.1.11*bis* confirming when appropriate, the validity of the International Energy Efficiency Certificate (MARPOL Annex VI regs.6.4 and 6.5);
- (CA) 2.2.1.17 confirming that the stability information, including damage stability, where applicable, and the damage control plans and damage control booklets are on board (SOLAS 74/88 regs.II-1/22, 23 and 25) (SOLAS 06 reg.II-1/5-1 and 19);
- (CA) 2.2.1.26 confirming approved Cargo Securing Manual for ships carrying cargo units including containers is on board (SOLAS 74/94 98 reg.VI/5.6);
- (CA) 2.2.1.30 confirming when appropriate that the coating technical file is available on board and maintained (SOLAS 74/00/06/10 regs.II-1/3-2 and 3-11);
- (CA) 2.2.1.31*bis* confirming, where appropriate, for crude oil tankers, that a technical file verified by the Administration has been provided on board (SOLAS 10 reg.II-1/3-11 and MSC.289(87));

- 
- (CA) 2.2.1.31~~ter~~ confirming, for oil tankers and bulk carriers of 150 m in length and above, that the Ship Construction File is available (SOLAS 10 reg. II-1/3-10 and MSC.287(87));
- (CA) 2.2.2.2~~bis~~ examining, for bulk carriers of 150 m and above, where appropriate, the ship's structure in accordance with the Ship Construction File, taking into account identified areas that need special attention (SOLAS 10 reg. II-1/3-10 and MSC.287(87));
- (CA) 2.2.2.24~~bis~~ examining, where applicable, the alternative design and arrangements for machinery or electrical installations, or fire safety, in accordance with the test, inspection and maintenance requirements, if any, specified in the approved documentation (SOLAS 00/06 regs.II-1/55 and II-2/17);
- (CA) 2.2.2.30 confirming that no new materials containing asbestos were installed on board<sup>4</sup> (SOLAS 74/00/04/09 reg.II-1/3-5);
- (CA) 2.2.3.15~~bis~~ confirming that the coating system in cargo oil tanks of crude oil tankers, when appropriate, is maintained and that in-service maintenance and repair activities are recorded in the coating technical file (SOLAS 10 reg. II-1/3-11 and MSC.288(87));
- (CA) 2.2.3.17 examining, for oil tankers of 150 m in length and above, where appropriate, the ship's structure in accordance with the Ship Construction File, taking into account identified areas that need special attention (SOLAS reg. II-1/3-10 and MSC.287(87));
- (CA) 2.2.4.1 the provisions of (CA) 2.2.3 except (CA) 2.2.3.15~~bis~~ and (CA) 2.2.3.17.
- (CIn) 2.3.4.1 the provisions of (CA) 2.2.3 except (CA) 2.2.3.15~~bis~~ and (CA) 2.2.3.17.
- (CR) 2.4.4.1 the provisions of (CA) 2.2.3 except (CA) 2.2.3.15~~bis~~ and (CA) 2.2.3.17.

5 Amendments to annex 1 - Survey Guidelines under the 1974 SOLAS Convention as modified by the 1988 Protocol relating thereto – (R) 4 Guidelines for Surveys for the Cargo Ship Safety Radio Certificate:

- (RI) 4.1.2.16.4 checking that the unique beacon identification code ~~EPIRB ID~~ is clearly marked on the outside of the equipment and, where possible, decoding the unique beacon identification code ~~EPIRB identity number~~ confirming it is correct;
- (RI) 4.1.2.16.4~~bis~~ checking that the unique beacon identification code programmed in the EPIRB corresponds with the unique beacon identification code assigned by or on behalf of the Administration;
- (RI) 4.1.2.16.4~~ter~~ checking that the MMSI number if encoded in the beacon corresponds with the MMSI number assigned to the ship;
- (RP) 4.2.1.11~~bis~~ confirming when appropriate, the validity of the International Energy Efficiency Certificate (MARPOL Annex VI regs 6.4 and 6.5);

6 Amendments to annex 1 - Survey Guidelines under the 1974 SOLAS Convention as modified by the 1988 Protocol relating thereto – (P) 5 Guidelines for Surveys for the Passenger Ship Safety Certificate:

- (PI) 5.1.1.12 examining the plans for the fire pumps, including the emergency fire pump<sup>1</sup> if applicable, fire mains, hydrants, hoses and nozzles and the international shore connection (SOLAS 74/88 reg.II-1/39 and SOLAS 74/00 reg.II-2/10.2; FSSC chs.2 and 12) (SOLAS 74/88 reg.II-1/39 and regs.II-2/4 and 19);
- (PI) 5.1.1.19 examining the plans for the protection of special category spaces and other cargo spaces (SOLAS 74/88 regs.II-2/37, 38 and 39) (SOLAS 74/00/06/10 regs.II-2/ 7.6, 9 and 20; FSSC chs. 9 and 10);
- (PI) 5.1.1.20 examining the plans for the fixed fire detection and alarm system, ~~the crew alarm and the public address system or other effective means of communication~~, and any automatic sprinkler, fire detection and fire alarm system, as applicable, in machinery spaces, including enclosed spaces containing incinerators, accommodation and service spaces and control spaces (SOLAS 74/00/06/10 reg. II-2/7 (except 7.5.5, 7.6 and 7.9); FSSC chs. 8, 9 and 10) (SOLAS 74/88 reg.II-2/40) (SOLAS 74/00/06 regs.II-2/7 and 12) (SOLAS 74/88 reg.II-2/40);
- (PI) 5.1.1.20bis examining the plans for the crew alarm and the public address system or other effective means of communication (SOLAS 74/00/06 regs.II-2/7.9; FSSC ch. 9; LSAC ch.7) (SOLAS 74/88 reg.II-2/40);
- (PI) 5.1.1.21 examining the plans for the special arrangements for the carriage of dangerous goods, when appropriate, including water supplies, electrical equipment and wiring, fire detection sample extraction smoke detection system, bilge pumping and personnel protection (SOLAS 74/88 regs.II-2/41 and 54) (SOLAS 74/00/08 reg.II-2/19; FSSC chs. 9 and 10);
- (PI) 5.1.1.23 examining the design of the survival craft, including their construction, equipment, fittings, release mechanisms ~~launching~~ and recovery appliances and embarkation and launching arrangements (SOLAS 74/88/06 regs.III/4, 20 to 24, 36, 38 to 44 and 48) (SOLAS 06 reg.III/4) (LSAC sections 3.2, 4.1 to 4.6, 6.1 to 6.2);
- (PI) 5.1.1.35 checking the plans provision and specification of the pilot transfer arrangement, the pilot ladders, the combination arrangements, where applicable, the access to the ship's deck and the associated equipment and lighting and ~~hoists~~ pilot transfer arrangements (SOLAS 74/00/10 reg.V/23);
- (PI) 5.1.2.12 confirming the arrangements for closing sidescuttles and their deadlights, also scuppers, sanitary discharges and similar openings and other inlets and discharges in the shell plating below the bulkhead deck (SOLAS 06 reg.II-1/43-15);

- (PI) 5.1.2.30 confirming and recording the ability of the machinery to reverse the direction of the thrust of the propeller in sufficient time and to bring the ship to rest within a reasonable distance, including the effectiveness of any supplementary means of manoeuvring or stopping the ship<sup>2</sup> (SOLAS 74/88 reg.II-1/28);
- (PI) 5.1.2.31 confirming that the main and auxiliary steering gear are so arranged that the failure of one of them does not render the other inoperative<sup>2</sup> (SOLAS 74/88 reg.II-1/29);
- (PI) 5.1.2.34 confirming that the main steering gear is capable of steering the ship at maximum ahead service speed and is capable of putting the rudder over from 35 degrees on one side to 35 degrees on the other side with the ship at its deepest seagoing draught<sup>3</sup> and running ahead at maximum ahead service speed and, under the same conditions, from 35 degrees on either side to 30 degrees on the other side in not more than 28 seconds<sup>2</sup> (SOLAS 74/88 reg.II-1/29);
- (PI) 5.1.2.35 confirming that the auxiliary steering gear is capable of steering the ship at navigable speed and of being brought speedily into action in an emergency and that it is capable of putting the rudder over from 15 degrees on one side to 15 degrees on the other side in not more than 60 seconds with the ship at its deepest seagoing draught and running ahead at one half of the maximum ahead service speed or 7 knots, whichever is the greater<sup>2</sup> (SOLAS 74/88 reg.II-1/29);
- (PI) 5.1.2.37 confirming that, where the main steering gear comprises two or more identical power units and an auxiliary steering gear is not fitted, a defect can be isolated so that steering capability can be maintained or speedily regained after a single failure in its piping system or in one of the power units<sup>2</sup> (SOLAS 74/88 reg.II-1/29)
- (PI) 5.1.2.65.1 for passenger ships, constructed on or after 1 July 2010<sup>10</sup>, confirming provision of supplementary lighting in all cabins, and checking that such lighting automatically illuminates and remains on for a minimum of 30 min when power to the normal cabin lighting is lost (SOLAS 06/10 reg.II-1/41.6);

<sup>10</sup> Refer to Guidance for application of SOLAS II-1/41.6 (MSC.1/Circ.1372)

- (PI) 5.1.2.67bis examining, where applicable, the alternative design and arrangements for machinery or electrical installations, fire safety, or life-saving appliances and arrangements, in accordance with the test and inspection requirements, if any, specified in the approved documentation (SOLAS 00/06 regs.II-1/55, II-2/17 and III/38);

- (PI) 5.1.2.68 examining the fire pumps and fire main and the disposition of the hydrants, hoses and nozzles and the international shore connection and checking that each fire pump, including the emergency fire pump, can be operated separately so that two jets of water are produced simultaneously from different hydrants at any part of the ship whilst the required pressure is maintained in the fire main and testing that the emergency fire pump, if applicable, has the required capacity, and if the emergency fire pump is the main supply of water for any fixed fire-extinguishing system, checking that the emergency fire pump has the capacity for this system<sup>1</sup> (SOLAS 74/88 regs.II-2/4 and 19, FSSC chs. 2 and 12);
- (PI) 5.1.2.83 confirming the fire protection arrangements, including fire detection and sample extraction smoke detection systems for special category spaces and other cargo spaces for cargo and dangerous goods and testing, as appropriate, the operation of the means for closing the various openings (SOLAS 74/88 regs.II-2/37, ~~38 and 39~~) (SOLAS 74/00 regs.II-2/7.6 and 10.7; FSSC chs. 5, 9 and 10);
- (PI) 5.1.2.83bis confirming the fire protection arrangements, including fire detection and sample extraction smoke detection systems, where applicable for vehicle, special category and ro-ro spaces and testing, as appropriate, the operation of the means for closing the various openings (SOLAS 74/88 regs.II-2/37, and 38) (SOLAS 74/00 reg.II-2/20 (except 20.5); FSSC chs. 5, 6, 7, 9, 10);
- (PI) 5.1.2.84 confirming and testing, as appropriate, ~~the any~~ fixed fire detection and alarm system, ~~the special alarm and the public address system or other effective means of communication and any automatic sprinkler, fire detection and fire alarm system, as applicable, in machinery spaces, including enclosed spaces containing incinerators, accommodation, service and control spaces~~ (SOLAS 74/88 reg.II-2/40) (SOLAS 74/00/06/10 regs II-2/7 (except 7.5.5, 7.6 and 7.9); FSSC chs. 8 and 9) (SOLAS 74/88 reg.II-2/40)(SOLAS 74/00/06 regs.II-2/7 and 12);;
- (PI) 5.1.2.84bis confirming and testing the special alarm and the public address system or other effective means of communication (SOLAS 74/88 reg.II-2/40) (SOLAS 74/00/06/10 reg.II-2/12; LSAC ch. 7);
- (PI) 5.1.2.86 examining, when appropriate, the special arrangements for carrying dangerous goods, including checking the electrical equipment and wiring, fire detection, ventilation and boundary insulation, the provision of protective clothing and portable appliances and the testing of the water supply, bilge pumping and any water spray system (SOLAS 74/88 regs.II-2/41 and 54) (SOLAS 74/00/08 reg.II-2/19);
- (PI) 5.1.2.88 examining each survival craft, including its equipment, and that the required number of search and rescue locating devices are fitted in liferafts and those liferafts are clearly marked (SOLAS 74/88/00/02/08 regs.III/20, 21 and 26; LSAC sections 2.3 to 2.5, 3.2 and 4.1 to 4.6);
- (PI) 5.1.2.90 deployment of 50% of the MES after installation (~~LSAC section 5.1 and MSC/Circ.809~~ LSAC paragraph 6.2.2.2);



- 
- (PI) 5.1.2.102 checking that a decision support system is provided for the Master (SOLAS 74/00 reg.III/29; SOLAS 06 regs. II-2/21 and 22);
- (PI) 5.1.2.109 checking that the International Code of Signals and an up-to-date copy of Volume III of the International Aeronautical and Maritime Search and Rescue (IAMSAR) Manual have been provided. (SOLAS 74/00/02 reg.V/21);
- (PI) 5.1.2.110 checking the provision of the pilot transfer arrangement, the access to the ship's deck and the associated equipment and lighting, checking the and, as appropriate, the deployment or operation of the pilot ladders and hoists/pilot transfer combination arrangements, where applicable (SOLAS 74/00/10 reg.V/23);
- (PI) 5.1.2.126.4 checking that the unique beacon identification code EPIRB ID is clearly marked on the outside of the equipment and, where possible, decoding the unique beacon identification code EPIRB identity number confirming it is correct;
- (PI) 5.1.2.126.4bis checking that the unique beacon identification code programmed in the EPIRB corresponds with the unique beacon identification code assigned by or on behalf of the Administration;
- (PI) 5.1.2.126.4ter checking that the MMSI number if encoded in the beacon corresponds with the MMSI number assigned to the ship;
- (PI) 5.1.2.135 checking ~~that~~ the provision, ~~and,~~ operation ~~and the annual test has been carried out for of~~ the automatic identification system (SOLAS 74/00/04 reg.V/19);
- (PI) 5.1.2.137 confirming that installed materials do not contain asbestos<sup>4</sup> (SOLAS 09 reg.II-1/3-5);
- (PI) 5.1.3.1 confirming that the stability information and damage control plans and damage control booklets have been provided (SOLAS 74/88 regs.II-1/22 and 23) (SOLAS 06 regs.II-1/5-1 and 19);
- (PI) 5.1.3.10 confirming that emergency instructions are available for each person on board, that the muster list is posted in conspicuous places, and that they are in a language understood by the persons on board (SOLAS 74/00 regs.III/8 and ~~53~~ 37);
- (PI) 5.1.3.16bis checking that records are provided, identifying any pilot ladders placed into service (SOLAS 10 reg.V/23.2.4);
- (PR) 5.2.1.8bis confirming when appropriate, the validity of the International Energy Efficiency Certificate (MARPOL Annex VI regs. 6.4 and 6.5);
- (PR) 5.2.1.17 confirming that the stability information and damage control plans and damage control booklets are readily available (SOLAS 74/88 regs.II-1/22 and 23) (SOLAS 06 regs.II-1/5-1 and 19);
-

- (PR) 5.2.1.27**bis** confirming that, if applicable, a factual statement issued by the manufacturer of the lifeboat release mechanism is available, confirming the successful overhaul examination of a mechanism compliant with paragraphs 4.4.7.6.4 to 4.4.7.6.6 of the LSA Code, or, alternatively, that a statement of acceptance of the installation of a replacement release and retrieval system to an existing lifeboat is available (SOLAS 11 reg.III/1.5; LSAC section 4.4.7.6);
- (PR) 5.2.1.35**bis** checking that records are maintained identifying any pilot ladders placed into service and any repair effected (SOLAS 10 reg.V/23.2.4);
- (PR) 5.2.1.38 confirming the provisions of (PI) 5.1.3.14 to (PI) 5.1.3.19 ~~except (PI) 5.1.3.16bis~~;
- (PR) 5.2.2.31 confirming that the main and auxiliary steering gear are being properly maintained, are arranged so that the failure of one does not render the other inoperative and that the auxiliary steering gear is capable of being brought speedily into action in an emergency<sup>2</sup> (SOLAS 74/88 reg.II-1/29);
- (PR) 5.2.2.62**bis** examining, where applicable, the alternative design and arrangements for machinery or electrical installations, fire safety, or life-saving appliances and arrangements, in accordance with the test, inspection and maintenance requirements, if any, specified in the approved documentation (SOLAS 00/06 regs.II-1/55, II-2/17 and III/38);
- (PR) 5.2.2.72 examining and testing, as far as practicable, any fire detection and fire alarm arrangements in machinery spaces, including enclosed spaces containing incinerators, if applicable, accommodation and service spaces and control spaces (SOLAS 74/00/10 reg.II-2/7 (except 7.5.5, 7.6 and 7.9); FSSC chs. 8 and 9) (SOLAS 74/88 regs.II-2/11, 12, 13, 13-1, 14, 36 and 41);
- (PR) 5.2.2.82 examining the fire-extinguishing arrangements, examining and testing the fire detection and alarm systems, the sample extraction smoke detection systems, where applicable including fire detection in cargo spaces for general cargo and dangerous goods and testing, as far as practicable and as appropriate, the operation of the means for closing the various openings (SOLAS 74/00 regs.II-2/7.6 and 10.7; FSSC chs.5, 9 and 10) (SOLAS 74/88 reg.II-2/39);
- (PR) 5.2.2.83 examining the fire-extinguishing arrangements ~~including fire detection~~ examining and testing the fire detection and alarm system, the sample extraction smoke detection system, where applicable, in vehicle, special category and ro-ro spaces and testing, as far as practicable and as appropriate, the operation of the means for closing the various openings (SOLAS 74/00 reg.II-2/20 (except 20.5); FSSC chs.5, 6, 7, 9 and 10) (SOLAS 74/88 regs.II-2/37, 38 and 38-1);

- (PR) 5.2.2.85 examining, when appropriate, the special arrangements for carrying dangerous goods, including checking the electrical equipment and wiring, ~~fire detection~~, ventilation, the provision of personnel protection clothing and portable appliances, testing any fire detection and alarm system and any sample extraction smoke detection system and testing, as far as practicable, the water supply, bilge pumping and any water spray system (SOLAS 74/00/08 reg.II-2/19 (except 19.3.8, 19.3.10 and 19.4); FSSC chs.3, 4, 7, 9 and 10) (SOLAS 74/88 regs.II-2/41 and 54);
- (PR) 5.2.2.92 examining each survival craft, including its equipment and, when fitted, the on-load release mechanism and hydrostatic lock, and for inflatable liferafts the hydrostatic release unit and float free arrangements, including the date of servicing or replacement. Checking that the hand-flares are not out of date and that the required number of search and rescue locating devices are fitted in liferafts and those liferafts are clearly marked (SOLAS 74/96/00/02/08 regs.III/20, 21, 23, 24 and 26; LSAC sections 2.3 to 2.5, 3.2 and 4.1 to 4.6);
- (PR) 5.2.2.101 confirming that a decision support system is provided for the Master (SOLAS 74/88 reg.III/29) (SOLAS 06 regs. II-2/21 and 22);
- (PR) 5.2.2.111 checking that the International Code of Signals and an up-to-date copy of Volume III of the International Aeronautical and Maritime Search and Rescue (IAMSAR) Manual have been provided. (SOLAS 74/00/02 reg.V/21);
- (PR) 5.2.2.113 checking the provision, and operation of ~~and that the annual test has been carried out for~~ the automatic identification system, where fitted, and whether the annual test has been carried out and a copy of the test report is on board (SOLAS 74/00/04/10 regs.V/18.9 and 19);
- (PR) 5.2.2.114 checking the provision and specification of the pilot ladders and ~~hoists~~ pilot transfer arrangements (SOLAS 74/00/10 reg.V/1723);
- (PR) 5.2.2.116 confirming that no new materials containing asbestos were installed on board (SOLAS 74/00/05/09 reg.II-1/3-5)<sup>4</sup>

7 Amendments to annex 2 - Survey Guidelines under the 1966 Load Line Convention as modified by the 1988 Protocol relating thereto – (L) 1 Guidelines for surveys for the International Load Line Certificate or International Load Line Exemption Certificate:

- (LI) 1.1.2.14 examining the special requirements for ships permitted to sail with type "A" or type "B-minus" freeboards (LLC 66/88/03 regs.26 and 27);
- (LA) 1.2.1.11bis confirming when appropriate, the validity of the International Energy Efficiency Certificate (MARPOL Annex VI, regs. 6.4 and 6.5)

8 Amendments to annex 3 - Survey Guidelines under the MARPOL Convention – (O) 1 Guidelines for Surveys for the International Oil Pollution Prevention Certificate:

- (OI) 1.1.2.11 examining, for oil tanker of 5,000 tonnes deadweight and above delivered on or after 1 February 2002, the intact stability (MARPOL 90/04 Annex I reg.27);

(OA) 1.2.1.9bis confirming when appropriate, the validity of the International Energy Efficiency Certificate (MARPOL Annex VI, regs. 6.4 and 6.5);

9 Amendments to annex 3 - Survey Guidelines under the MARPOL Convention – (N)  
2 Guidelines for Surveys for the International Pollution Prevention Certificate for the Carriage of Noxious Liquid Substances in Bulk:

(NI) 2.1.2.10 confirming if applicable the construction and arrangements of a ship certified to carry individually identified vegetable oils under exemption from the carriage requirements (MARPOL 90/04 Annex II reg.4.3 4.1.3).

(NI) 2.1.3.3 confirming that the shipboard marine pollution emergency plan is provided (MARPOL ~~90/04~~ Annex II reg.17).

(NA) 2.2.1.7bis confirming when appropriate, the validity of the International Energy Efficiency Certificate (MARPOL Annex VI, regs. 6.4 and 6.5);

10 Amendments to annex 3 - Survey Guidelines under the MARPOL Convention – (S)  
3 Guidelines for Surveys for the International Sewage Pollution Prevention Certificate:

(SI) 3.1.1.2 if a sewage treatment plant is fitted, checking that it is type approved by the Administration in accordance with the appropriate resolution (MARPOL Annex IV regs. 9.1.1 and 9.2.1);

(SI) 3.1.1.3 if a sewage comminuting and disinfecting system is fitted, checking that it is approved by the Administration and that facilities for the temporary storage of sewage are provided (MARPOL Annex IV reg. 9.1.2);

(SI) 3.1.1.4 if a sewage holding tank is fitted, checking its capacity having regard to the number of persons on board (MARPOL Annex IV regs. 9.1.3 and 9.2.2);

(SI) 3.1.2.1 checking externally, as applicable, the sewage treatment plant or the sewage comminuting and disinfecting system, and confirming their operation (MARPOL Annex IV regs. 4.1.1 and 9.1.1, 9.1.2 and 9.2.1);

(SI) 3.1.2.2 if a sewage holding tank is fitted, checking that it has been constructed in a satisfactory manner, and checking that the holding tank has a means to indicate visually the amount of its contents (MARPOL Annex IV regs. 9.1.3 and 9.2.2);

(SR) 3.2.1.4bis confirming when appropriate, the validity of the International Energy Efficiency Certificate (MARPOL Annex VI regs. 6.4 and 6.5);

(SR) 3.2.2.2 examining externally the sewage pollution prevention system and confirming, as far as practicable its satisfactory operation (MARPOL Annex IV, reg.9);

(SR) 3.2.2.4 confirming, for ships where a sewage holding tank is fitted as a sewage system, that an approval for the rate of discharge is available (MARPOL IV regs.9.1.3 and 11.1.1)

11 Amendments to annex 3 - Survey Guidelines under the MARPOL Convention – (A)  
4 Guidelines for Surveys for the International Air Pollution Prevention Certificate and the NO<sub>x</sub> Technical Code:

(AI) 4.1.2.2.1.4 for marine diesel engines of an output more than 5,000 kW and a per cylinder displacement at or above 90 litres/cylinder installed on ships constructed between 1 January 1990 and 31 December 1999, check whether:

- .1 an approved method exists;
- .2 an approved method is not commercially available; or
- .3 that an approved method is installed and where this is the case, that there is an approved method file,

and apply the verification procedures as given in the approved method file;

- .4 or that the engine has been certified, confirming that it operates within the limits set forth for Tier I, Tier II or Tier III (MARPOL Annex VI reg. 13.7.3);

(AI) 4.1.2.3.1 confirming, if appropriate, that:

- .1 satisfactory arrangements are in place for using compliant fuel as required; or
- .2 satisfactory installation and operation of the fuel switching arrangements are in place when tanks are provided for different grades of fuel, and that a written procedure showing how the fuel oil changeover is done, is available; or

(AA) 4.2.1.4bis checking when appropriate, the validity of the International Pollution Prevention Certificate for the Carriage of Noxious Liquid Substances in Bulk;

(AA) 4.2.1.4ter checking when appropriate, the validity of the International Sewage Pollution Prevention Certificate;

(AA) 4.2.1.4quad confirming when appropriate, the validity of the International Energy Efficiency Certificate (MARPOL Annex VI, regs. 6.4 and 6.5)

(AA) 4.2.2.4.6 for a marine diesel engine with an output of more than 5,000 kW and a per cylinder displacement at or above 90 litres/cylinder installed on ships constructed between 1 January 1990 and 31 December 1999, check whether:

- .1 an approved method exists;
- .2 an approved method is not commercially available; or
- .3 that an approved method is installed and where this is the case, that there is an approved method file,

and apply the verification procedures as given in the approved method file;

.4 or that the engine has been certified, confirming that it operates within the limits set forth for Tier I, Tier II or Tier III (MARPOL Annex VI reg. 13.7.3);

(AR) 4.4.2.2.1 confirming, if necessary by simulated test or equivalent, the satisfactory operation of the ~~following~~ alarms and safety devices.

12 Amendments to annex 4 - Survey Guidelines under mandatory Codes – Guidelines for Surveys for the International Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk and the Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk:

(DA) 1.2.1.9bis confirming when appropriate, the validity of the International Energy Efficiency Certificate (MARPOL Annex VI, regs. 6.4 and 6.5);

(DA) 1.2.1.20 confirming that the Shipboard marine pollution emergency plan is on board (MARPOL ~~73/78/02~~ 04 Annex II reg.~~46-17~~);

(DA) 1.2.1.21 confirming that the Cargo Record Book is on board and being correctly used (MARPOL ~~73/78/91/97/02~~ 04 Annex II reg.~~9~~ 15);

13 Amendments to annex 4 – Survey Guidelines under mandatory Codes –Guidelines for Surveys for the International Certificate of Fitness for the Carriage of Liquefied Gases in Bulk:

(GA) 2.2.1.9bis confirming when appropriate, the validity of the International Energy Efficiency Certificate (MARPOL Annex VI, regs. 6.4 and 6.5.);

14 Amendments to appendix 1 Summary of Amendments to Mandatory Instruments reflected in the Survey Guidelines under the HSSC:

SOLAS 1974 up to and including the ~~2009—~~ 2011 amendments, (resolution MSC.~~282(86)~~ 317(89))

SOLAS PROT 1988 up to and including the ~~2009—~~2010 amendments (resolution MSC.~~283(86)~~309(88))

MARPOL up to and including the ~~2010—~~2012 amendments (resolution MEPC.~~190(60)~~217(63) )

NO<sub>x</sub> Technical Code up to and including the ~~2008—~~2012 amendments (resolution MEPC.~~177(58)~~217(63))

\*\*\*

## **ANNEX 8**

### **DRAFT ASSEMBLY RESOLUTION**

#### **2013 NON-EXHAUSTIVE LIST OF OBLIGATIONS UNDER INSTRUMENTS RELEVANT TO THE IMO INSTRUMENTS IMPLEMENTATION CODE**

THE ASSEMBLY,

RECALLING Article 15(j) of the Convention on the International Maritime Organization concerning the functions of the Assembly in relation to regulations and guidelines regarding maritime safety and the prevention and control of marine pollution from ships,

RECALLING ALSO that, by resolution A.1054(27), it adopted the Code for the Implementation of Mandatory IMO Instruments, 2011, annexes to which, provide a non-exhaustive list of instruments and obligations for guidance on the implementation and enforcement of IMO instruments, in particular concerning the identification of the auditable areas relevant to Voluntary IMO Member State Audit Scheme,

RECOGNIZING the need for the annexes to above-mentioned Code to be further revised to take account of the amendments to the IMO instruments referred to in the Code which have entered into force or become effective since the adoption of resolution A.1054(27),

RECOGNIZING FURTHER that parties to the relevant international conventions have, as part of the ratification process, accepted to fully meet their responsibilities and to discharge their obligations under the conventions and other instruments to which they are party,

REAFFIRMING that States have the primary responsibility to have in place an adequate and effective system to exercise control over ships entitled to fly their flag, and to ensure that they comply with relevant international rules and regulations in respect of maritime safety, security and protection of the marine environment,

REAFFIRMING FURTHER that States, in their capacity as flag, port and coastal States, have other obligations and responsibilities under applicable international law in respect of maritime safety, security and protection of the marine environment,

NOTING that, while States may realize certain benefits by becoming party to instruments aiming at promoting maritime safety, security and protection of the marine environment, these benefits can only be fully realized when all parties carry out their obligations as required by the instruments concerned,

NOTING ALSO that the ultimate effectiveness of any instrument depends, inter alia, upon all States:

- (a) becoming party to all instruments related to maritime safety, security and pollution prevention and control;
- (b) implementing and enforcing such instruments fully and effectively;
- (c) reporting to the Organization, as required,

NOTING ALSO resolution [A...(28)] by which it adopted the IMO Instruments Implementation Code (III Code) [revoking resolution A.1054(27) on the Code for the Implementation of Mandatory IMO Instruments, 2011],

NOTING ALSO resolution A.[...](28) by which it adopted amendments to the International Convention on Load Lines, 1966, the International Convention on Tonnage Measurement of Ships, 1969 and the Convention on the International Regulation for Preventing Collisions at Sea, 1972, to make the III Code mandatory under these Conventions,

NOTING FURTHER that the Marine Environment Protection Committee and the Maritime Safety Committee have developed requirements for adoption by Contracting Governments to the International Convention for the Safety of Life at Sea, 1974, and the Protocol of 1988 relating to the International Convention on Load Lines, 1966, the International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 relating thereto, the Protocol of 1997 to amend the International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 relating thereto, [and the International Convention on Standards of Training, Certification and Watchkeeping, 1978, as amended], respectively, to make the III Code mandatory under these instruments,

HAVING CONSIDERED the recommendations made by the Marine Environment Protection Committee [at its sixty-fifth] session and the Maritime Safety Committee, [at its ninety-second] session,

1. ADOPTS the 2013 non-exhaustive list of obligations under instruments relevant to the III Code, set out in the annex to the present resolution;
2. URGES Governments of all States, in their capacity as flag, port and coastal States, to make as much use as possible of the list in the implementation of IMO instruments on a national basis;
3. REQUESTS the Maritime Safety Committee and the Marine Environment Protection Committee to keep the list under review and, under the coordination of the Council, to propose amendments thereto to the Assembly.

\* \* \*



ANNEX 1

**OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES**

The following table contains a non-exhaustive list of obligations, including those obligations imposed when a right is exercised.

	<b>OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES</b>	
<b>SOURCE</b>	<b>SUMMARY DESCRIPTION</b>	<b>COMMENTS</b>
<b>TONNAGE 69</b>		
Art. 1	General obligation under the Convention	
Art. 5(2)	Force majeure	
Art. 8	Issue of a certificate by another Government	
Art. 10	Cancellation of certificate	
Art. 11	Acceptance of certificates	
Art. 15	Communication of information	
<b>LL 66 and LL PROT 88<sup>1</sup></b>		
Art. 1	General obligation under the Convention	
	General obligations	LL PROT 88 only (Art. I)
Art. 7(2)	Force majeure	
Art. 17	Issue or endorsement of certificates by another Government	amended by LL PROT 88
Art. 20	Acceptance of certificates	
Art. 25	Special rules drawn up by agreement	
Art. 26	Communication of information	
	Communication of information	LL PROT 88 only (Art. III)

<sup>1</sup> When the obligation does not derive from the International Convention on Load Lines, 1966, but solely from the Protocol of 1988 relating thereto, this is indicated in the "Comments" column.

	<b>OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES</b>	
<b>SOURCE</b>	<b>SUMMARY DESCRIPTION</b>	<b>COMMENTS</b>
<b>COLREG 72</b> Art. I	General obligations	
<b>STCW 78</b> Art. I Art. IV Art. XI(1) Reg. I/2.12 Reg. I/2.14 Reg. I/2.15 and 2.16 Reg. I/3 Reg. I/5 Reg. I/6.1 Reg. I/6.2 Reg. I/7 Reg. I/8.1 and 8.2 Reg. I/8.3 Reg. I/9.1 and 9.2	General obligations under the Convention  Communication of information  Promotion of technical co-operation  Issuance of certificates of competency  Maintenance of a register or registers of all certificates and endorsements  Availability of information on the status of certificates of competency, endorsements and dispensations (as of 1 January 2017, available in English through electronic means)  Principles governing near-coastal voyages, communication of information and incorporation of limits in the endorsements  National provisions – impartial investigation, enforcement measures including penalties or disciplinary measures and cooperation  Training and assessment – Administration, supervision and monitoring  Qualification of those responsible for training and assessment  Communication of the information as referred to in article IV of the STCW 78 Convention and A-I/7 of the STCW Code  Quality standards system and periodical independent evaluation  Communication of a report  Medical standards, procedures for issuance of medical certificates, and recognition of medical practitioners	

	<b>OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES</b>	
<b>SOURCE</b>	<b>SUMMARY DESCRIPTION</b>	<b>COMMENTS</b>
Reg. I/9.6	Procedures for governing the validity of a medical certificate which expires in the course of a voyage	
Reg. I/11.4 and 11.5	Comparison of standards of competence – determination of need for appropriate refresher and updating training or assessment and formulation or promotion of the formulation of a structure of refresher and updating courses	
Reg. II/5.3	Comparison of standards of competence – determination of the need to update qualifications for able seamen to whom certificates are issued before 1 January 2012	
Reg. III/5.3	Comparison of standards of competence – determination of the need to update qualifications for ratings in engine department to whom certificates are issued before 1 January 2012	
Reg. III/6.3	Comparison of standards of competence – determination of the need to update qualifications for electro-technical officers to whom certificates are issued before 1 January 2012	
Reg. III/7.3	Comparison of standards of competence – determination of the need to update qualifications for electro-technical officers to whom certificates are issued before 1 January 2012	
Reg. VII/3.1	Principles governing the issue of alternative certificates	
<b>SOLAS 74</b>		
Art. I	General obligations under the Convention	in SOLAS PROT 78 and SOLAS PROT 88
Art. III	Communication of information	in SOLAS PROT 78 and SOLAS PROT 88
Art. V(c)	Carriage of persons in emergencies – reporting	

	<b>OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES</b>	
<b>SOURCE</b>	<b>SUMMARY DESCRIPTION</b>	<b>COMMENTS</b>
Art. VII	Special rules drawn up by agreement	
Art. XI	Denunciation	in SOLAS PROT 88 (Art. VII)
Reg. I/13	Issue or endorsement of certificates by another Government	in SOLAS PROT 88
Reg. I/17	Acceptance of certificates	also reg. I/19(b)
Reg. I/21(b)	Casualties – reporting	
Reg. IV/5	Provision of radiocommunication services and communication of information on such provision	
Reg. IV/5-1	Global maritime distress and safety system identities – ensuring suitable arrangements	
Reg. V/5	Meteorological services and warnings	
Reg. V/6	Ice Patrol Service	
Reg. V/10	Ships' routing	
Reg. V/11	Ship reporting systems	
Reg. V/12	Vessel traffic services	
Reg. V/13	Establishment and operation of aids to navigation	
Reg. V/31.2	Danger messages – bring to the knowledge of those concerned and communicate to other interested Governments	
Reg. V/33.1-1	Distress situations: obligations and procedures – coordination and cooperation	
Reg. VI/1.2	Appropriate information on safe carriage of cargoes	
Reg. VII/2.4	Issue of instructions on emergency response, etc.	
Reg. VII/7-1	Issue of instructions on emergency response, etc.	

	OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES	
SOURCE	SUMMARY DESCRIPTION	COMMENTS
<b>MARPOL</b>		
Art. 1	General obligations under the Convention	and Art. I of MARPOL PROT 78
Art. 4(2) and (4)	Violation	
Art. 5(1)	Certificates and special rules on inspection of ships – acceptance of certificates	
Art. 5(4)	Certificates and special rules on inspection of ships – no more favourable treatment	
Art. 6(1)	Detection of violations and enforcement of the Convention – cooperation	
Art. 6(3)	Detection of violations and enforcement of the Convention – furnishing evidence	
Art. 7	Undue delay to ships	
Art. 8	Reports on incidents involving harmful substances	
Art. 11	Communication of information	
Art. 12(2)	Casualties to ships – information to IMO	
Art. 17	Promotion of technical co-operation	
<b>Annex I</b>		
Reg. 8	Issue or endorsement of a certificate by another Government	
Reg. 15.7	Control of discharge of oil – investigations (Machinery spaces)	
Reg. 34.7	Control of discharge of oil – investigations (Cargo area)	
Reg. 38.3 <i>bis</i> and 38.4 <i>bis</i>	Consultation with IMO for circulation of information regarding reception facilities by Parties participating in regional arrangements	

	OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES	
SOURCE	SUMMARY DESCRIPTION	COMMENTS
<b>Annex II</b>		
Reg. 6.3	Categorization and listing of noxious liquid substances and other substances – establish and agree on provisional assessment and notify IMO	
Reg. 9.3.1, 9.3.2, 9.3.3 and 9.3.4	Issue or endorsement of a certificate by another Government	
Reg. 13.4	Control of discharges of residues – exemption for a pre-wash	
Reg. 18.2 <i>bis</i> and 18.2 <i>ter</i>	Consultation with IMO for circulation of information regarding reception facilities by Parties participating in regional arrangements	
Reg. 18.3	Reception facilities and cargo unloading terminal arrangements – agree and establish a date, notify IMO	
<b>Annex III</b>		
Reg. 1(3)	Application – issue detailed requirements	
<b>Annex IV</b>		
Reg. 6	Issue or endorsement of a certificate by another Government	
Reg. 12.1 <i>bis</i>	Consultation with IMO for circulation of information regarding reception facilities by Parties participating in regional arrangements	
<b>Annex V</b>		
Reg. 8.2 <i>bis</i>	Consultation with IMO for circulation of information regarding reception facilities by Parties participating in regional arrangements	
<b>Annex VI</b>		
Reg. 7	Issue or endorsement of a certificate by another Government	Addition related to IECC by MEPC.203(62)

	<b>OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES</b>	
<b>SOURCE</b>	<b>SUMMARY DESCRIPTION</b>	<b>COMMENTS</b>
Regs. 9.9.3 and 9.11.2	Transfer of flag – transmitting copies of the certificate and the relevant survey report	
Reg. 11.1	Detection of violations and enforcement – cooperation	
Reg. 11.2	Inspection report in case of detection of violations	
Reg. 11.3	Detection of violations and enforcement – information to flag State and master on violations detected	
Reg. 11.5	Transmission of report to requesting Party	
Reg. 13.7.1	Certification of an Approved Method and communication to IMO	
Reg.17.1	Adequate Reception Facilities	
Reg. 17.1 <i>bis</i>	Consultation with IMO for circulation of information regarding reception facilities by Parties participating in regional arrangement	
Reg. 17.3	Reception Facilities unavailable or inadequate – communication to IMO	
Reg. 18.1	Availability of fuel oils and communication to IMO	
Reg. 18.2.1	Ship not compliant with fuel oil standards	
Reg. 18.2.3	Action taken, including not taking control measures	
Reg. 18.2.5	Evidence of the non-availability of compliant fuel oil – communication to IMO	
Reg. 18.9	Authorities designated for register of local suppliers, bunker delivery note and sample, fuel oil quality, actions against fuel oil suppliers of non-compliance, informing the Administration of any ship receiving non-compliant fuel oil and communication to IMO of non-compliant fuel oil suppliers as referred to in the paragraph	

	<b>OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES</b>	
<b>SOURCE</b>	<b>SUMMARY DESCRIPTION</b>	<b>COMMENTS</b>
<b>ISM Code</b>		
Para 14.3	Extension of validity of Interim SMC by another Contracting Government	
<b>1994 HSC Code</b>		
Para 1.8.2	Issue of certificates by another Government	
Para 14.2.1.12	Definition of "sea area A1"	as may be defined
Para 14.2.1.13	Definition of "sea area A2"	as may be defined
<b>2000 HSC Code</b>		
Para 1.8.2	Issue of certificates by another Government	
Para 14.2.1.13	Definition of "sea area A1"	as may be defined
Para 14.2.1.14	Definition of "sea area A2"	as may be defined
<b>IMDG Code</b>		
Section 1.3.1	Training of shoreside personnel – establishment of period for keeping records of training	
Section 1.5.2	Radiation protection programme – role of Competent Authority	
Section 1.5.3	Quality assurance programmes – role of Competent Authority	
Chapter 3.3	Approval of metal hydride storage system(s) installed in conveyances or in completed conveyance components or intended to be installed in conveyances	
Chapter 4.1	Approval of packagings as referred to in the Chapter – role of Competent Authority	
Section 5.1.5	General provisions for class 7 – role of Competent Authority	
Chapter 5.5	Determining the period between fumigant application and loading of fumigated cargo transport unit on board the ship	



	<b>OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES</b>	
<b>SOURCE</b>	<b>SUMMARY DESCRIPTION</b>	<b>COMMENTS</b>
Chapter 6.2	Approval of pressure receptacles, aerosol dispensers, small receptacles containing gas and fuel cell cartridges containing liquefied flammable gas – role of Competent Authority	
Section 6.2.2.6.2	General provisions – role of Competent Authority	
Section 6.3.2	Quality assurance programme – role of Competent Authority	
Section 6.3.5	Procedures for performance and frequency of tests – role of Competent Authority	
Chapter 6.4	Approval of package design and materials for class 7 – role of Competent Authority	
Section 6.5.4	Testing, certification and inspection – role of Competent Authority	
Chapter 6.6	Provisions for the construction and testing of large packagings – role of Competent Authority	
Chapter 6.7	Provisions for the design, construction, inspection and testing of portable tanks and multiple-element gas containers – role of Competent Authority	
Chapter 6.8	Provisions for road tank vehicles – role of Competent Authority	
Section 7.1.14	Stowage of goods of class 7 – role of Competent Authority	
Chapter 7.9	Exemptions, approvals and certificates – notification to IMO and recognition of approvals and certificates	
<b>Casualty Investigation Code</b>		
Para 4/4.1	Detailed contact information of the marine safety investigation Authority(ies) to IMO	
Paras 5/5.1 and 5.2	Notification of a marine casualty	

	<b>OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES</b>	
<b>SOURCE</b>	<b>SUMMARY DESCRIPTION</b>	<b>COMMENTS</b>
Paras 7/7.1 and 7.2	Agreement to conduct a marine safety investigation	
Para 8/8.1	Powers provided for investigator(s)	
Para 9/9.2	Coordination for parallel investigations	
Para 10/10.1	Cooperation in investigating	
Para 11/11.1	Investigation not to be subject to external direction	
Paras 13/13.1,13.4 and 13.5	Draft marine safety investigation reports	
Paras 14/14.1 and 14.2	Marine safety investigation reports – communication to IMO	
Para 14/14.4	Marine safety investigation reports – available to public and shipping industry	
<b>IBC Code</b>		
Para 1.5.3	Maintenance of conditions after survey	
Para 1.5.5.1	Issue or endorsement of International Certificate of Fitness by another Government	
<b>BCH Code</b>		
Para 1.6.4.1	Issue or endorsement of certificate by another Government	
<b>IGC Code</b>		
Para 1.5.5.1	Issue or endorsement of certificate by another Government	
<b>STCW Code, part A</b>		
Section A-I/6.1	Training and assessment of seafarers for certification	

	<b>OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES</b>	
<b>SOURCE</b>	<b>SUMMARY DESCRIPTION</b>	<b>COMMENTS</b>
Section A-I/6.3	Qualifications of instructors, supervisors and assessors	
Section A-I/6.7	Training and assessment within an institution	
Section A-I/7.2	Communication of information – initial communication (within one year of entry into force of regulation I/7)	
Section A-I/7.3, 7.4 and 7.5	Communication of information – subsequent reports (within the periods as referred to in paragraphs 7.3, 7.4 and 7.5)	
Section A-I/8.1 and 8.3	National objectives and quality standards	
Section A-I/9.1	Medical standards – eyesight standards, physical and medical fitness	
Section A-I/9.4	Provisions for recognizing medical practitioners and maintenance of a register of recognized medical practitioners	
Section A-I/9.5 and 9.6	Guidance, processes and procedures for the conduct of medical fitness examinations and issuance of medical certificates	
Section A-I/12.1	General performance standards for simulators used in training	
Section A-I/12.2	General performance standards for simulators used in assessment of competence	
Section A-I/12.6	Simulator training objectives	
Section A-I/12.9	Qualification of instructors and assessors	
Section A.VIII/2.9	Watchkeeping at sea – directing the attention of companies, masters, chief engineer officers and watchkeeping personnel to observe principles in parts 4-1 and 4-2	

ANNEX 2

**SPECIFIC FLAG STATE OBLIGATIONS**

The following table contains a non-exhaustive list of obligations, including those obligations imposed when a right is exercised.

<b>SPECIFIC FLAG STATE OBLIGATIONS</b>		
<b>SOURCE</b>	<b>SUMMARY DESCRIPTION</b>	<b>COMMENTS</b>
<b>TONNAGE 69</b>		
Art. 6	Determination of tonnages	
Art. 7(2)	Issue of certificates	
Annex I, reg. 1(3)	Novel types of craft – determination of tonnage and communication to IMO on method used	
Annex I, reg. 5(3)(b)	Change of net tonnage – Alterations or modifications deemed by the Administration to be of a major character	
Annex I, reg. 7	Measurement and calculation	
<b>LL 66 and LL PROT 88<sup>2</sup></b>		
	Existing certificates	LL PROT 88 only (Art.II-2)
Art. 6(3)	Exemptions – reporting	
Art. 8(2)	Equivalents – reporting	
Art. 9(2)	Approvals for experimental purposes – reporting	
Art. 13	Surveys and marking	amended by LL PROT 88
Art. 14	Initial, renewal and annual survey	amended by LL PROT 88
Art. 16(3)	Issue of certificates	
Art. 19	Duration and validity of certificate	amended by LL PROT 88
Art. 23	Casualties	

<sup>2</sup> When the obligation does not derive from the International Convention on Load Lines, 1966, but solely from the Protocol of 1988 relating thereto, this is indicated in the "Comments" column.

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Annex I, reg. 1	Strength of hull Strength and intact stability of ships	LL PROT 88 only (Annex I, reg. I)
Annex I, reg. 2	Application – Assignment of freeboard Authorization of recognized organizations	amended by LL PROT 88 LL PROT 88 only (Annex I, reg. 2-1)
Annex I, reg. 8	Details of marking	
Annex I, reg. 10	Stability information – approval	amended by LL PROT 88
Annex I, reg. 12	Doors	amended by LL PROT 88
Annex I, reg. 14	Cargo and other hatchways	amended by LL PROT 88
Annex I, reg. 15	Hatchways closed by portable covers and secured weather tight by tarpaulins and battering devices	amended by LL PROT 88
Annex I, reg. 16(1)	Hatchway coamings – reduced heights	amended by LL PROT 88 (Annex I, reg. 14-1(2))
Annex I, reg. 16(4)	Securing arrangements Machinery space openings	amended by LL PROT 88 (Annex I, reg. 16(6)) LL PROT 88 only (Annex I, reg. 17(4))
Annex I, reg. 19	Ventilators	amended by LL PROT 88
Annex I, reg. 20	Air pipes Cargo ports and other similar openings – applicable national standards	amended by LL PROT 88 LL PROT 88 only (Annex I, reg. 21(5))
Annex I, reg. 22	Scuppers, inlets and discharges	amended by LL PROT 88
Annex I, reg. 25	Protection of the crew	amended by LL PROT 88
Annex I, reg. 27	Freeboards – Types of ships	amended by LL PROT 88

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Annex I, reg. 28	Freeboard tables	amended by LL PROT 88
Annex I, reg. 39	Minimum bow height and reserve buoyancy Lashing system	amended by LL PROT 88 LL PROT 88 only (Annex I, reg. 44(6))
<b>COLREG 72</b>		
Annex I, paragraph 14	Approval of construction of lights and shapes and the installation of lights on board	
Annex III, paragraph 3	Approval of construction, performance and installation of sound signal appliances on board	
<b>STCW 78</b>		
Art. VI	Certificates	
Art. VIII(3)	Dispensation – reporting	
Art. IX(2)	Equivalents – reporting	
Reg. I/2.1, 2.2, 2.7 and 2.8	Issuance and endorsements of certificate of competency	
Reg. I/10.1 and 10.2	Recognition of certificates and seafarer's knowledge of the maritime legislation	
Reg. I/11.6	Availability – recent changes in national and international regulations	
Reg. I/13.3	Conduct of trials – safety, security and pollution prevention	
Reg. I/13.5 and 13.8.1	Results of trials – Communication	
Reg. I/13.7	Respect objections to particular trials	
Reg. I/13.8	Respect objections by other Parties when authorizing ships to continue to operate with the system under trial	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. I/14.1	Responsibilities of companies	
Reg. IV/1.2	Application – appropriate certificates for radio operators	
Reg. V/1.7	Mandatory minimum requirements for the training and qualification of masters, officers and ratings on oil and chemical tankers	
Reg. V/1-2.5	Mandatory minimum requirements for the training and qualification of masters, officers and ratings on liquefied gas tankers	
Reg. V/2.1	Applicability of the requirements on domestic voyages	
Reg. V/2.8	Mandatory minimum requirements for the training and qualification of masters, officers, ratings and other personnel on passenger ships	
Reg. VIII/1.1 and 1.2	Fitness for duty – preventing fatigue and preventing drug and alcohol abuse	
Reg. VIII/2.1 and 2.2	Watchkeeping arrangements and principles – direction and requirements	
<b>SOLAS 74</b>		
Reg. I/4(b)	Exemptions – reporting	in SOLAS PROT 78 and SOLAS PROT 88
Reg. I/5(b)	Equivalentents – reporting	
Reg. I/6	Inspection and survey	
Reg. I/7	Survey of passenger ships	
Reg. I/8	Survey of life-saving appliances and other equipment of cargo ships	
Reg. I/9	Survey of radio installations of cargo ships	
Reg. I/10	Survey of structure, machinery and equipment of cargo ships	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. I/12	Issue of certificates	in SOLAS PROT 88
	Issue and endorsement of certificates	in SOLAS PROT 88
Reg. I/14	Duration and validity of certificates	in SOLAS PROT 88
Reg. I/15	Forms of certificates and records of equipment	revised SOLAS chapter II-1 adopted by MSC 80 and MSC 82
Reg. I/18	Qualification of certificates	
Reg. I/21	Casualties	
Reg. II-1/1.2	Compliance with earlier requirements	
Reg. II-1/3-2	Approval of corrosion prevention systems of seawater ballast tanks	
Reg. II-1/3-2.4	Maintenance of the protective coating	
Reg. II-1/3-3.2	Approval of means of access to tanker bows	
Reg. II-1/3-4.1.2.2 and 3-4.1.3	Approval of emergency towing arrangements on tankers	
Reg. II-1/3-6.2.3	Means of access to cargo and other spaces – satisfaction of the Administration as well as survey	
Reg. II-1/3-6.4.1	Approval of Ship Structure Access Manual	
Reg. II-1/3-8.3	Appropriate requirements for towing and mooring equipment	
Reg. II-1/3-9.1	Means of embarkation and disembarkation	
Reg. II-1/4.2	Alternative methodologies – communication to IMO	
Reg. II-1/4.4	Beneficial or adverse effects of fitting structures as defined by the regulation	



SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. II-1/5-1.1	Stability information to the Administration	
Reg. II-1/7-2.5	Acceptance to equalization devices and their control	
Reg. II-1/13.9.2	Number and arrangements of doors with a device preventing unauthorized opening	
Reg. II-1/13.11.2	Special consideration for tunnels piercing watertight bulkheads	
Reg. II-1/15.2	Arrangement and efficiency of the means for closing any opening in the shell plating	
Reg. II-1/15.6	Special sanction for automatic ventilating sidescuttles	
Reg. II-1/15.8.5	Material of pipes as referred to in the regulation	
Reg. II-1/16.1.1	Construction and initial tests of watertight doors, sidescuttles, etc.	
Reg. II-1/16-1.1	Construction and initial tests of watertight decks, trunks, etc.	
Reg. II-1/17-1.2	Indicators for closing appliances that could lead to flooding of a special category space or ro-ro space	
Reg. II-1/19.3 and 19.4	Damage control information – General and specific precautions	
Reg. II-1/22.4	Determination for watertight doors permitted to remain open	
Reg. II-1/26.2	Consideration of reliability of single essential propulsion components	
Reg. II-1/29.1, .2.1 and .6.3	Steering gear	
Reg. II-1/29.17.2	Adoption of regulations on rudder actuators for tankers, chemical tankers and gas carriers	
Reg. II-1/35-1.3.7.2 and 3.9	Bilge pumping arrangements	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. II-1/40.2	Electrical installations – ensuring uniformity	
Reg. II-1/42.1.3	Emergency source of electrical power in passenger ships	
Reg. II-1/43.1.3	Emergency source of electrical power in cargo ships	
Reg. II-1/44.2	Approval of automatically starting emergency generating sets	
Reg. II-1/45.3.3, 45.5.3, 45.5.4, 45.9.3, 45.10, and 45.11	Precautions against shock, fire and other hazards of electrical origin	
Reg. II-1/46.2 and .3	Additional requirements for periodically unattended machinery space	
Reg. II-1/53.1	Special requirements for machinery, boiler and electrical installations	
Reg. II-1/55.3, 55.4.1 and 55.6	Evaluation of the alternative design and arrangements and re-evaluation due to change of conditions	
Reg. II-1/55.5	Alternative design and arrangements – communication to IMO	
Reg. II-2/1.2.1	Approval of fire protection arrangements in existing ships	
Reg. II-2/1.6.2.1.2 and 1.6.6	Application of requirements for tankers	
Reg. II-2/4.2.2.5.1	Approval of material for oil fuel pipes and their valves and fittings	
Reg. II-2/4.3	Approval of gaseous fuel systems used for domestic purposes	
Reg. II-2/4.5.1.4.4	Installation of cargo oil lines where cargo wing tanks are provided	
Reg. II-2/4.5.3.3	Requirements for safety devices in venting systems	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. II-2/4.5.5.2.1	Requirements for inert gas system on chemical tankers	see reg. II-2/4.5.5.3.1  see reg. II-2/8.3.3 and II-2/9.5.2.3
Reg. II-2/4.5.6.3	Arrangements for inerting, purging or gas-freeing	
Reg. II-2/5.2.2.5	Positioning of controls for any required fire-extinguishing system in passenger ships	
Reg. II-2/5.2.3.1	Special consideration to maintaining the fire integrity of periodically unattended machinery spaces	
Reg. II-2/7.3.2	Initial and periodical tests	see reg. II-2/11.2
Reg. II-2/7.6	Protection of cargo spaces in passenger ships	
Reg. II-2/8.3.4	Release of smoke from machinery spaces – passenger ships	
Reg. II-2/9.2.2.1.5.1	Approval of equivalent means of controlling and limiting a fire on ships designed for special purposes	
Reg. II-2/9.2.2.3.1	Fire integrity of bulkheads and decks in ships carrying more than 36 passengers	
Reg. II-2/9.2.2.4.4, 9.2.3.3.4 and 9.2.4.2.4	Fire integrity of bulkheads and decks	
Reg. II-2/9.3.4	Approval of structural fire protection details, taking into account the risk of heat transmission	
Reg. II-2/9.5.2.4	Protection of openings in machinery space boundaries	
Reg. II-2/10.2.1.2.1.3	Provisions for fixed water fire-extinguishing arrangements for periodically unattended machinery spaces	
Reg. II-2/10.2.1.2.2.1	Ready availability of water supply	
Reg. II-2/10.2.3.1.1	Approval of non-perishable material for fire hoses	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. II-2/10.2.3.2.1	Number and diameter of fire hoses	
Reg. II-2/10.3.2.1	Arrangement of fire extinguishers	
Reg. II-2/10.6.1.1	Type approval of automatic sprinkler, fire detection and fire alarm system	
Reg. II-2/10.6.3.2	Approval of fire-extinguishing arrangement for flammable liquid lockers	
Reg. II-2/10.7.1.2	Fixed gas fire-extinguishing systems for general cargo	
Reg. II-2/10.7.1.4	Issue of an Exemption Certificate	
Reg. II-2/13.3.1.4	Provision of means of escape from, or access to, radiotelegraph stations	
Reg. II-2/13.3.2.5.1	Lighting or photoluminescent equipment to be evaluated, tested and applied in accordance with the FSS Code	
Reg. II-2/13.3.2.6.2	Normally locked doors that form part of an escape route – Quick release mechanisms	
Reg. II-2/13.5.1	Means of escape on passenger ships from special category and open ro-ro spaces to which any passengers carried can have access	
Reg. II-2/17.4.1 and 17.6	Evaluation and approval of the engineering analysis for alternative design and arrangements for fire safety	
Reg. II-2/17.5	Alternative design and arrangements for fire safety – communication of information to IMO	
Reg. II-2/19.4	Provision of document of compliance	
Reg. II-2/20.4.1	Provision and approval of fixed fire detection and fire alarm systems	
Reg. II-2/20.6.1.4.2	Adverse effect as referred to in the regulation – Approval of stability information	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. II-2/21.5.2	Alternate space for medical care	
Reg. III/4	Evaluation, testing and approval of life-saving appliances and arrangements	
Reg. III/5	Production tests for life-saving appliances	
Reg. III/20.8.1.2	Approval of servicing stations	
Reg. III/20.8.5	Extension of liferaft service intervals – notification to IMO	
Reg. III/20.11.1 and 20.11.2	Periodic servicing of launching appliances and on-load release gear – thorough examination at the annual surveys	
Reg. III/26.2.4	Approval of liferafts on ro-ro passenger ships	
Reg. III/26.3.1 and 26.3.2	Approval of fast rescue boats and their launching appliances on ro-ro passenger ships	
Reg. III/28	Approval of helicopter landing and pick-up areas on ro-ro passenger ships	
Reg. III/38.3, 38.4.1 and 38.6	Evaluation of the alternative design and arrangements and re-evaluation due to change of conditions	
Reg. III/38.5	Alternative design and arrangements – communication to IMO	
Reg. IV/3.3	Exemptions – reporting to IMO	
Reg. IV/14.1	Type approval of radio equipment	
Reg. IV/15.5	Ensure radio equipment is maintained	
Reg. IV/16.1	Radio personnel	
Reg. IV/17	Radio records	
Reg. V/3.3	Exemptions and equivalents – reporting to IMO	
Reg. V/14	Ships' manning	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. V/16	Maintenance of equipment	
Reg. V/17	Electromagnetic compatibility	
Reg. V/18.1	Type approval of navigational systems and equipment and voyage data recorder	
Reg. V/18.5	Requirement for quality control system at manufacturers	
Reg. V/23.3.3.1.3	Pilot transfer arrangements	
Reg. V/23.6.1	Type approval of mechanical pilot hoists	
Reg. VI/3.1 and 3.2	Provision of equipment for oxygen analysis and gas detection and training of crews in their use	
Reg. VI/5.6	Approval of Cargo Securing Manual	
Reg. VI/6	Acceptability for shipment	
Reg. VI/9.2	Grain loading information	
Reg. VII/5	Approval of Cargo Securing Manual	
Reg. VII/15.2	Warships – INF cargo	
Reg. VIII/4	Approval of design, construction and standards of inspection and assembly of reactor installations	
Reg. VIII/6	Ensure radiation safety	
Reg. VIII/7(a)	Approval of safety assessment	
Reg. VIII/8	Approval of operating manual	
Reg. VIII/10(f)	Issue of certificates	
Reg. IX/4.1	Issue of Document of Compliance (DOC)	
Reg. IX/4.3	Issue of Safety Management Certificate (SMC)	
Reg. IX/6.1	Periodical verification of the safety management system	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. XI-1/1	Authorization of recognized organizations	
Reg. XI-1/2	Enhanced surveys	
Reg. XI-1/3.5.4	Ship identification number – approval of method of marking	
Reg. XI-1/3-1.2	Registered owner identification number	
Reg. XI-1/5.3	Issue of Continuous Synopsis Record (CSR)	
Reg. XI-1/5.4.2	Amendments to CSR	
Reg. XI-1/5.4.3	Authorize and require changes to be made to CSR	
Reg. XI-1/5.8	Former flag State to send CSR to new flag State	
Reg. XI-1/5.9	Append previous CSR to new CSR	
Reg. XI-1/6	Investigations of marine casualties and incidents	
Reg. XII/8.1	Endorsement of booklet required by reg. VI/7.2	
Reg. XII/9.2	Approval of bilge well high water level alarms	
Reg. XII/11.3	Loading instrument – approval of software for stability calculations	
<b>MARPOL</b>		
Art. 4(1) and (3)	Violation	
Art. 6(4)	Detection of violations and enforcement of the Convention – investigations	
Art. 12(1)	Casualties to ships – investigations	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
<b>Annex I</b>		
Reg. 2.6.2	Application – an oil tanker delivered on or before 1 June 1982 engaged in specific trades: agreement with port States	
Reg. 3.3	Exemptions and waivers – reporting	
Reg. 4.3	Exceptions – discharge of substances containing oil for the purpose of combating pollution incidents	
Reg. 5.2	Equivalents – reporting	
Reg. 6	Surveys	
Reg. 7	Issue or endorsement of certificate	
Reg. 10.9.3	Transfer of flag	
Reg. 12A.12	Oil fuel tank protection – approval of the design and construction of ships	
Reg. 14.3	Oil filtering equipment – volume of oil bilge holding tank	
Reg. 14.4	Oil filtering equipment – ships of less than 400 gross tonnage	
Reg. 14.6 and 14.7	Oil filtering equipment – approval	
Reg. 15.6.2	Control of discharge of oil – ships of less than 400 gross tonnage: design approval	
Reg. 18.8.2, 18.8.3 and 18.8.4	Requirements for product carriers of 40,000 tonnes deadweight and above – arrangement and operation, approval of oil content meter, clean ballast tank operational manual	
Reg. 18.10.1.1	Segregated ballast tanks – oil tanker delivered on or before 1 June 1982 having special ballast arrangements: approval	
Reg. 18.10.1.2	Segregated ballast tanks – oil tanker delivered on or before 1 June 1982 having special ballast arrangements: agreement with port States	



SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. 18.10.3	Segregated ballast tanks – oil tanker delivered on or before 1 June 1982 having special ballast arrangements: communication to IMO	
Reg. 20.8.1	Double hull and double bottom requirements for oil tankers delivered before 6 July 1996 – communication to IMO	
Reg. 21.8.1	Prevention of oil pollution from oil tankers carrying heavy grade oil as cargo – communication to IMO	
Reg. 23.3.1	Accidental oil outflow performance – Calculation of mean oil outflow parameter	
Reg. 25.5	Hypothetical outflow of oil – information to IMO on accepted arrangements	
Reg. 27.3	Intact stability – approval of written procedures for liquid transfer operation	
Reg. 28.3.4	Subdivision and damage stability – sufficient stability during flooding	
Reg. 29.2.1	Slop tanks – approval	
Reg. 30.6.5.2	Pumping, piping and discharge arrangement – establishment of requirements	
Reg. 30.7	Pumping, piping and discharge arrangement – positive means of loading, transporting or discharging cargo	
Reg. 31.2 and 31.4	Oil discharge monitoring and control system – approval	
Reg. 32	Oil/water interface detector – approval	
Reg. 33.1	Crude oil washing requirement – compliance with requirement	
Reg. 33.2	Crude oil washing requirements – establishment of requirements	
Reg. 35.1	Crude oil washing operations – Operations and Equipment Manual	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. 36.9	Oil Record Book, Part II – development of oil record book for ships of less than 150 gross tonnage	
Reg. 37.1	Shipboard oil pollution emergency plan – approval	
Reg. 38.7.2	Reception facilities within special areas: Antarctic area – sufficient capacity	
Reg. 38.8	Reception facilities – Notification on alleged inadequacies of port reception facilities	
Reg. 39.2.2	Special requirements for fixed or floating platforms – approval of record form	
Reg. 41.1	Oil tankers Ship to Ship (STS) operations Plan to be approved	
<b>Annex II</b>		
Reg. 3.1.3	Exceptions – approval of discharge of NLS for the purpose of combating pollution incidents	
Reg. 4.1.2	Exemptions – communication to IMO on relaxations	
Reg. 4.3.4	Exemptions – communication to IMO	
Reg. 4.4.5	Exemptions – communication to IMO	
Reg. 5.1	Equivalents – substitution of operational method	
Reg. 5.2	Equivalents – communication to IMO on alternatives	
Reg. 5.3.4 and 5.3.5	Equivalents – pumping and piping arrangement, approval of manual	
Reg. 6.3	Establishment of Tripartite Agreements – Notification to IMO	
Reg. 8	Surveys	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. 9	Issue or endorsement of certificates	
Reg. 10.7	Expiry date of existing certificate	
Reg. 10.9.3	Transfer of flag	
Reg. 11.2	Design, construction, equipment and operations – establishment of appropriate measures	
Reg. 12.5	Pumping, piping, unloading arrangements and slop tanks – approval of pumping performance test	
Reg. 13.3	Control of discharges of residues of NLS – approval of ventilation procedure	
Reg. 13.5	Control of discharges of residues of NLS – approval of tank washing procedure	
Reg. 14.1	Procedures and arrangements manual – approval	
Reg. 17.1	Shipboard marine pollution emergency plan for NLS – approval	
Reg. 18.5	Notification on alleged inadequacies of port reception facilities	
<b>Annex IV</b>		
Reg. 4	Surveys	
Reg. 5	Issue or endorsement of certificates	
Reg. 8.8.2	Transfer of flag	
Reg. 9.1	Approval of sewage systems	
Reg. 9.2	Approval of sewage systems (passenger ships operating in special areas)	
Reg. 11.1.1	Approval of rate of discharge	
Reg. 12.2	Notification on alleged inadequacies of port reception facilities	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
<b>Annex V</b>		
Reg. 6.3.2	Sufficient capacity for the retention of all garbage on board ships before entering the Antarctic area	
Reg. 8.2	Notification on alleged inadequacies of port reception facilities	
<b>Annex VI</b>		
Reg. 3.2 and 3.3.2	Exceptions and exemptions	
Reg. 4.2 and 4.4	Equivalents and communication to IMO	
Reg. 5	Surveys and certification	Addition related to IEEC MEPC.203(62) Addition related to IEEC by MEPC.203(62) Addition related to IEEC by MEPC.203(62)
Reg. 6	Issue or endorsement of Certificate	
Reg. 9.1 and 9.10	Duration and validity of certificate	
Reg. 9.9.3	Transfer of flag	
Reg. 11.4	Detection of violations and enforcement – investigations and communication to the Party and IMO	
Reg. 12.6	Ozone Depleting Substances Record Book – approval of alternative forms of record keeping	
Reg. 13.1.1.2 and 13.1.2.2)	Nitrogen oxides – Acceptance of identical replacement and alternative control measures	
Reg. 13.2.2	Acceptance of installation of Tier II engine in lieu of Tier III where Tier III engine could not be accommodated	
Reg. 13.5.2.2	Combined nameplate diesel engine – application as referred to in the paragraph	
Reg. 13.7.2	Approved method not commercially available	
Reg. 14.6	Sulphur oxides – prescription of logbook	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. 15.5	Volatile organic compounds – approval of vapour collection systems	Refer to Reg. 19.4
Reg. 15.6	VOC Management Plan – approval	
Reg. 16.6.1	Shipboard incineration – approvals	
Reg. 19.6	Information regarding application, suspension, withdrawal or declining of waiving the requirements of Reg. 20 (in accordance with Reg.19.4) – communication to the Organization	
Reg. 23	Cooperation with other parties – promotion of development – transfer of technology, exchange of information relating to the improvement of energy efficiency of ships	
Appendix IV, para 1	Type approval as referred to in the paragraph	
Appendix VI, para 1.2, para 2.1 and para 3.1	Fuel verification procedure – management and sample delivery	
<b>Res. MSC.133(76), as amended</b>	Technical provisions for means of access for inspections	
Para 3.7	Vertical or spiral ladders – acceptance	
Para 3.9.7	Other means of access – approval and acceptance	
<b>Res. A.739(18), as amended</b>	Guidelines for the authorization of organizations acting on behalf of the Administration	
Para 2	Assignment of authority	
Para 3	Verification and monitoring	
<b>ISM Code</b>		
Para 13.2	Issue of DOC	
Para 13.4	Annual verification (DOC)	
Para 13.5	Withdrawal of DOC	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para 13.7	Issue of SMC	
Para 13.8	Intermediate verification (SMC)	
Para 13.9	Withdrawal of SMC	
Para 14.1	Issue of Interim DOC	
Para 14.2	Issue of Interim SMC	
Para 14.4	Verification required for issuance of an Interim SMC	
Para 15.1	Verification – acceptance of procedures	
Para 16	Forms of certificates	
<b>INF Code</b>		
Para 1.3.2	Issue of certificate	
Para 2.1	Damage stability (INF.1 ship)	
Para 3.1	Fire safety measures (INF.1 cargo)	
Para 4.1.3	Temperature control of cargo spaces (INF.1, 2 and 3 ship)	
Para 6.2	Safe stowage and securing – approval of principles	
Para 7.1	Electrical power supplies (INF.1 ship)	
Chapter 8	Radiological protection	
Chapter 9	Management and training	
Para 10.2	Shipboard emergency plan – approval	
<b>FSS Code</b>		
Para 1/4	Use of toxic extinguishing media	
Para 4/2	Type approval of fire extinguishers	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para 4/3.1.1.2	Determine equivalents of fire extinguishers	
Para 4/3.2.2.2	Approval of foam concentrate	
Para 5/2.1.1.4	Containers for the storage of fire-extinguishing medium, etc.	
Para 5/2.1.2.1	System flow calculations	
Para 5/2.1.2.3	Spare parts	
Para 5/2.3	Steam systems	
Para 5/2.5	Equivalent systems – approval	
Paras 6/2.2.1.1 and 6/2.3.1.1	Foam concentrates – approval	
Para 7/2.1	Fixed pressure water-spraying fire-extinguishing systems – approval	
Para 7/2.2	Equivalent systems – approval	
Para 7/2.3	Fixed pressure water-spraying fire-extinguishing systems for cabin balconies – approval	
Para 8/2.1.2	Equivalent sprinkler systems – approval	
Para 9/2.3.1.2	Sensitivity limits of smoke detectors in other spaces	
Para 9/2.3.1.3	Heat detectors temperature limits	
Para 9/2.3.1.7	Fixed fire detection and fire alarm systems for cabin balconies – approval	
Para 9/2.4.1.3	Limiting the number of enclosed spaces included in each section	
Para 9/2.5.2	Testing on ships with self-diagnostic system – determination of requirements	
Para 10/2.1.2	Sequential scanning – overall response time	
Para 10/2.2.2	Extractor fans – overall response time	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para 10/2.3.1.1	Means to isolate smoke accumulators	
Para 11/2.1	Low-location lighting – approval	
Para 14/2.2.1.2	Medium expansion ratio foam – application rate, etc.	
Para 15/2.1.2	Inert gas systems – approval	
Para 15/2.2.4.6	Adequate reserve of water	
<b>2010 FTP Code</b>		
Para 4.2	Recognition of testing laboratories	
Para 5.1.1 and 5.1.2	Approval of products in accordance with established approval procedures or authorization of competent authorities to issue approvals	
Para 5.2.2	Requirements for manufacturers – quality control system audited by a competent authority – or alternatively use of final product verification procedures as referred to in the paragraph	
Para 7.2	Use of equivalents and modern technology – communication of information to the Organization	
Annex 1, part 3/3.3	Structural core of a material other than steel or aluminium alloy – decision on limits for rise in temperature	
Annex 1, part 3 appendix 1, para 2.3.2.9	Insulation system of 'A' class door – approval to the same standard as the door	
<b>LSA Code</b>		
Para 1.2.3	Determine the period of acceptability of LSAs subject to deterioration with age	
Para 4.4.1.2	Endorsement of lifeboat affixed approval plate	
Para 4.5.4	Fixed two-way VHF radiotelephone apparatus – sheltered space	



SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para 5.1.1.4	Rescue boats – combination of rigid and inflatable construction	
Para 5.1.3.8	Rubbing strips on inflated rescue boats	
Paras 6.1.2.9 and 6.1.2.10	Lowering speed of a fully equipped liferaft	
Para 6.2.1.2	MES – strength and construction of passage and platform	
Para 7.2.2.1	Broadcast of messages from other places on board	
<b>1994 HSC Code</b>		
Para 1.3.5	Verification	
Para 1.4.29	Determination of "maximum operational weight"	
Para 1.5.1.2	Specifying intervals for renewal surveys	
Para 1.5.4	Inspection and survey	
Para 1.5.5	Recognized organizations and nominated surveyors	
Para 1.5.7	Completeness of survey and inspection	
Para 1.8.1	Issue/endorsement of certificate	
Para 1.9.2	Issue of permit to operate	
Para 1.11.2	Equivalents – reporting	
Para 1.12.1	Adequate information and guidance provided to the craft by the company	
Paras 1.13.2 and 1.13.3	Novel designs	
Para 1.14.1	Investigation reports to IMO	
Paras 2.7.4 and 2.14.2	Inclining and stability information – approval	
Para 3.4	Determination of service life	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para 3.5	Design criteria	
Para 4.8.3	Documentation and verification of evacuation time	
Para 7.5.6.3	Safe outlets for exhaust fans in fuel tank spaces	
Para 7.7.2.3.2	Sensitivity limits of smoke detectors	
Para 7.7.6.1.5	Additional quantity of fire-extinguishing medium	
Para 7.7.6.1.12	Containers for the storage of fire-extinguishing medium, etc. – design	
Para 7.7.8.5	Maximum length of fire hoses	
Para 8.1	Approval and acceptance of LSA and arrangements	
Para 8.9.1.2	Approval of novel life-saving appliances or arrangements	
Para 8.9.1.3	Notification to the Organization	
Para 8.9.7.1.2	Approval of servicing stations	
Para 8.9.7.2	Deployment intervals of MES	
Para 8.9.11	Novel life-saving appliances or arrangements	
Para 8.9.12	Notification to the Organization	
Para 10.2.4.9	Flexible oil fuel pipes	
Para 10.3.7	Internal diameters of suction branches	
Para 12.6.2	Specified voltages to earth	
Para 13.1.2	Navigational equipment and its installation	
Para 13.13	Approval of systems, equipment and performance standards	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para 14.3.3	Exemptions – reporting	
Para 14.13.1	Type approval	
Para 14.14.5	Ensuring maintenance	
Para 14.15	Radio personnel	
Para 14.16	Radio records	
Para 15.3.1	Operating station – field of vision	
Para 15.7.2	Ensuring clear view through windows	
Para 17.8	Acceleration and deceleration	
Para 18.1.4	Determining maximum allowable distance from a base port or place of refuge	
Para 18.2	Craft documentation	
Paras 18.3.1 to 18.3.7	Training and qualifications	
Chapter 19	Inspection and maintenance requirements	
<b>2000 HSC Code</b>		
Para 1.3.7	Verification	
Para 1.4.37	Determination of "maximum operational weight"	
Para 1.5.1.2	Specifying intervals for renewal surveys	
Para 1.5.4	Inspection and survey	
Para 1.5.5	Recognized organizations and nominated surveyors	
Para 1.5.7	Completeness of survey and inspection	
Para 1.7.3	Investigation to determine the need of survey	
Para 1.8.1	Issue/endorsement of certificate	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para 1.9.1.1.4	Transit voyage – satisfied with the arrangement	
Para 1.9.2	Issue of permit to operate	
Para 1.9.7	The worst intended conditions and the operational limitations	
Para 1.11.2	Equivalents – reporting	
Para 1.12.1	Adequate information and guidance provided to the craft by the company	
Paras 1.13.2 and 1.13.3	Novel designs	
Para 1.14.1	Investigation reports to IMO	
Para 2.9.3	Verification of load line marks	
Paras 2.7.5 and 2.14.2	Inclining and stability information – approval	
Para 3.4	Determination of service life	
Para 3.5	Design criteria	
Para 4.2.2	Approval of public address system	
Para 4.8.3	Documentation and verification of evacuation time	
Para 4.8.10	Evacuation demonstration	
Para 7.3.3	Approval of structural fire protection details	
Para 7.5.6.3	Safe outlets for exhaust fans in fuel tank spaces	
Para 7.7.1.1.8	Limitation of number of enclosed spaces in each section	
Para 7.7.1.3.2	Sensitivity limits of smoke detectors	
Para 7.7.3.3.6	Additional quantity of fire-extinguishing medium	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para 7.17.1	Reduced requirements for cargo craft of less than 500 GT	
Para 7.17.3.1.5	Water spray system – approval	
Para 7.17.3.3	Smoke detection systems – equivalent protection	
Para 7.17.4	Issue of Document of Compliance for craft carrying dangerous goods	
Para 8.1	Approval and acceptance of LSA and arrangements	
Para 8.9.7.1.2	Approval of servicing stations	
Para 8.9.8	Rotational deployment of marine evacuation systems	
Para 8.9.11	Extension of liferaft service intervals – notification	
Para 8.11	Helicopter pick-up areas – approval	
Para 10.2.4.9	Flexible oil fuel pipes	
Para 10.3.7	Internal diameters of suction branches	
Para 12.6.2	Specified voltages to earth	
Para 13.1.2	Ship borne navigational system and equipment and voyage data recorder and their installation	
Para 13.17	Type approval	
Para 14.3.3	Exemptions – reporting	
Para 14.4.2	GMDSS Identities – suitable arrangements	
Para 14.14.1	Type approval	
Para 14.15.5	Ensuring maintenance	
Para 14.16	Radio personnel	
Para 14.17	Radio records	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para 15.3.1	Operating station – field of vision	
Para 15.7.2	Ensuring clear view through windows	
Para 17.8	Acceleration and deceleration	
Para 18.1.4	Determining maximum allowable distance from a base port or place of refuge	
Para 18.2	Craft documentation	
Paras 18.3.1 to 18.3.7	Training and qualifications	
Chapter 19	Inspection and maintenance requirements	
<b>Res. A.744(18), as amended</b>	Guidelines on the enhanced programme of inspections during surveys of bulk carriers and oil tankers	
<b>Annex A – Bulk carriers</b>		
<b>Part A – Single-side skin bulk carriers</b>		
Para 1.3.1	Repair of damage affecting the ship's structural, watertight or weathertight integrity	
Para 1.3.2	Corrosion or structural defects impairing the ship's fitness	
Para 3.3.4	Repairs of cargo hatch securing system	
Para 5.1.1	Survey programme	
Para 5.1.4	Maximum acceptable structural corrosion diminution levels	
Para 5.2.1.1	Provisions for proper and safe access	
Para 6.2.2	Survey report file	
Para 8.1.2	Evaluation of survey report	
Para 8.2.3	Condition evaluation report	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Annex 4B, para 1	Survey planning questionnaire	
Annex 5, para 3.1	Certification of thickness measurement	
Annex 9, para 2.3	Technical assessment in conjunction with the planning of enhanced surveys for bulk carriers	
Annex 13, para 3	Cargo hatch cover securing arrangements	
<b>Part B – Double-side skin bulk carriers</b>		
Para 1.3.1	Repair of damage affecting the ship's structural, watertight or weathertight integrity	
Para 1.3.2	Corrosion or structural defects impairing the ship's fitness	
Para 3.3.4	Cargo hatch cover securing system	
Para 5.1.1	Survey programme	
Para 5.1.5	Maximum acceptable structural corrosion diminution levels	
Para 5.2.2	Provisions for proper and safe access	
Para 6.2.2	Survey report file retained in the Administration	
Paras 8.1.2 and 8.2.3	Evaluation of survey report	
Annex 4B	Survey planning questionnaire	
Annex 5, para 3.1	Certification of a company engaged in thickness measurement	
Annex 9, para 2.3	Technical assessment in conjunction with the planning of enhanced surveys for bulk carriers	
Annex 11, para 3	Materials and welding	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
<b>Annex B – Oil tankers</b>		
<b>Part A – Double hull oil tankers</b>		
Para 1.3.1	Repair of damage affecting the ship's structural, watertight or weathertight integrity	
Para 1.3.2	Corrosion or structural defects impairing the ship's fitness	
Para 2.4.3.2	Approval of corrosion prevention system	
Para 5.1.1	Survey programme	
Para 5.1.4	Maximum acceptable structural corrosion diminution levels	
Para 5.2.1.1	Provisions for proper and safe access	
Para 6.2.2	Survey report file	
Para 8.1.3	Evaluation of survey report	
Para 8.2.3	Condition evaluation report	
Annex 6B	Survey planning questionnaire	
Annex 7, para 3.1	Certification of thickness measurement	
Annex 9	Diminution limits of structural members	
Annex 11, para 2.3	Technical assessment in conjunction with the planning of enhanced surveys for oil tankers	
Annex 12	Criteria for longitudinal strength of hull girder for oil tankers	
<b>Part B – Oil tankers other than double hull oil tankers</b>		
Para 1.3.1	Repair of damage affecting the ship's structural, watertight or weathertight integrity	



SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para 1.3.2	Corrosion or structural defects impairing the ship's fitness	
Para 2.4.3.2	Approval of corrosion prevention system	
Para 5.1.1	Survey programme	
Para 5.1.4	Maximum acceptable structural corrosion diminution levels	
Para 5.2.1.1	Provisions for proper and safe access	
Para 6.2.2	Survey report file	
Para 8.1.3	Evaluation of survey report	
Para 8.2.3	Condition evaluation report	
Annex 6B	Survey planning questionnaire	
Annex 7, para 3.1	Certification of thickness measurement	
Annex 9	Diminution limits of structural members	
Annex 11, para 2.3	Technical assessment in conjunction with the planning of enhanced surveys for oil tankers	
Annex 12	Criteria for longitudinal strength of hull girder for oil tankers	
<b>Res. 4 of the 1997 SOLAS Conference</b>		
Section 5	Dimension and selection of weld connections and materials	
<b>Res. MSC.168(79)</b>	Standards and criteria for side structures of bulk carriers of single-side skin construction	
Para 2.1	Applicable national standards	
Para 4.4	Applicable national standards	
Para 4.5	Applicable national standards	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
<b>NO<sub>x</sub> Technical Code 2008</b>		
Chapter 1	Assumption of full responsibility for the approval of documentation as required by the Code together with the acceptance of procedures and alternatives as permitted by the Code	
Chapter 2	Issue of the Engine International Air Pollution Prevention Certificate, arrangements for the Parent Engine test and pre-certification of engines, usage of the Engine Family/Engine Group concepts and approval of the Technical File and any subsequent amendments	
Chapter 2 para 2.2.5.1	Approval and pre-certification in the case referred to in the paragraph	
Chapter 3	Acceptance of modification of engine speed at E2 test cycle 25% power mode point	
Chapter 4	Assignment of Engine Family/Engine Group status, as applicable, and selection of associated Parent Engine. Acceptance of conformity of production arrangements. Adjustment of Parent Engine relative to Engine Group reference values	
Chapter 5	Ensuring that the Parent Engine test and subsequent calculations are undertaken in accordance with Code requirements and that, where alternatives are applied, these meet the Code's equivalency requirements and any deviations are within the permitted margins. Filing of Parent Engine test report	
Chapter 6	Onboard NO <sub>x</sub> Verification Procedures are in accordance with the provisions of the Code and are adequate to provide verification that an engine, as so surveyed, will be in accordance with the applicable Annex VI requirements. Acceptance of aspects within Onboard NO <sub>x</sub> Verification Procedure – Simplified Measurement Method if applicable. Approval of aspects within Onboard NO <sub>x</sub> Verification Procedure –Direct	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
	Measurement and Monitoring Method including the Onboard Monitoring Manual, if applicable	
Chapter 7	Installation of Approved method – amendment of IAPP Certificate	
Appendix IV	Verification that the calibration of all necessary measurement equipment meets Code requirements	
Appendix VII	Aspects to be included within Onboard NO <sub>x</sub> Verification Procedure – Parameter Check Method	
Appendix VIII	Approval of alternative exhaust gas measurement principles.	
<b>IBC CODE</b>		
Para 1.1.6	Prescribe preliminary suitable conditions for carriage of products not listed in chapter 17 or 18	
Para 1.4.2	Equivalents – communication to IMO	
Section 1.5	Survey and certification	
Para 2.2.2	Intact stability in all seagoing conditions	
Para 2.2.3	Free surface effect in undamaged compartments	
Para 2.4	Conditions of loading	
Para 2.8.1.6	Standard of damage	
Para 2.8.2	Standard of damage – alternative measures	
Para 2.9.2.3	Residual stability during intermediate stages of flooding	
Para 3.4.4	Access to spaces in the cargo area	
Para 3.7.3.5	Alternative arrangements for draining the piping	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para 3.7.4	Relaxation for small ships	
Para 5.1.6.4	Dimensions for flanges not complying with the standards	
Para 5.2.2	Piping fabrication and joining details	
Para 7.1.1	Cargo temperature control – general	
Para 8.3.6	Devices to prevent the passage of flames into cargo tanks – requirements for the design, testing and locating	
Para 10.1.3	Electrical installations – appropriate steps for uniform implementation	
Para 10.1.4	Electric equipment, cables and wiring which do not conform to the standard	
Para 10.1.5	Electrical equipment in hazardous locations	
Para 11.2.2	Approval of an appropriate fire-extinguishing system	
Para 11.3.2	Cargo area – additional arrangements	
Para 11.3.5.3	Cargo area – minimum capacity of monitor	
Para 11.3.7	Minimum capacity of foam monitor for ships less than 4,000 tonnes deadweight	
Para 11.3.13	Alternative provisions to deck foam system	
Para 13.2.3	Exemption of toxic vapour detection equipment	
Para 14.1.2	Protective equipment	
Chapter 15	Approval of special requirements for specific chemicals	
Para 16.2.2	Cargo information – independent expert	
Para 16.5.1	Stowage of cargo samples – approval	
Para 18.2	Safety requirements – list of products to which the Code does not apply	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
<b>BCH CODE</b>		
Para 1.5.2	Equivalents – communication to IMO	
Section 1.6	Survey requirements	
Section 1.8	New products – establishing suitable conditions – notification to IMO	
Para 2.2.4	Determination of the ability to survive flooding of the machinery space in Type 3 below 125 m in length	
Para 2.2.5	Nature of alternative measures prescribed for small ships – duly noted on certificate	
Para 2.9.5	Access to void spaces, cargo tanks, etc. – approval of smaller dimensions in special circumstances	
Section 2.10	Cargo piping systems – setting standards	
Section 2.12	Cargo hoses – setting standards	
Para 2.14.2	High-velocity vent valves – type approval	
Para 2.15.1	Cargo heating and cooling systems	
Para 3.1.2(f)	Ventilation fans – approval	
Para 3.14.1	Alternative provisions for ships dedicated to the carriage of specific cargoes	
Para 3.14.2	Additional arrangements when foam is not effective or is incompatible	
Para 3.14.7	Foam monitors on ships of less than 4,000 tonnes deadweight – minimum capacity	
Para 3.15.2	Protection of cargo pump-rooms with fire-extinguishing systems – approval	
Para 3.15.5	Products evolving flammable vapours – fire-extinguishing systems – approval	
Chapter IV	Approval of special requirements for specific chemicals	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
<b>IGC CODE</b>		
Para 1.1.6	Establishment of preliminary suitable conditions of carriage and notification	
Para 1.4.2	Equivalents – reporting	
Section 1.5	Surveys and certification	
Para 2.2.2	Stability standard – acceptance	
Para 2.2.3	Method to calculate free surface effect – acceptance	
Para 2.3.3	Automatic non-return valves – acceptance	
Para 2.4	Damage survival capability investigation	
Para 2.8.2	Alternative measures – approval	
Para 2.9.1.3	Residual stability during intermediate stages of flooding	
Para 3.5.3.2	Decreased clear opening in the cargo area	
Section 3.8	Bow or stern loading and unloading arrangements – approval	
Para 4.2.7	Design temperature	
Paras 4.4.2.5 and 4.4.4.1	Structural analysis of the hull	
Paras 4.4.6.1.1, 4.4.6.2.1 and 4.4.6.3.2	Setting standards	
Para 4.4.7.2.1	Three-dimensional structural analysis	
Para 4.4.7.3	Analysis	
Para 4.5.1.11	Allowable stresses – approval	
Para 4.7.3	Secondary barriers for non-basic tank types	
Para 4.7.7	Checking method – approval	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para 4.8.4.4	Design and construction of the heating system	
Para 4.9.8	Insulation materials	
Para 4.10.1.2.2	Bevel preparation, etc. – acceptance and approval	
Para 4.10.2	Workmanship	
Para 4.10.5.2	Quality control specifications	
Para 4.10.6	Integral tank-testing	
Para 4.10.8.3	Tightness test	
Para 4.10.9	Type C independent tanks – inspection and NDT	
Para 4.10.10.3.7	Consideration of pneumatic testing	
Para 4.11.1	Soaking temperature and holding times	
Para 4.11.2	Alternative to heat treatment – approval	
Paras 5.2.4.4 and 5.2.4.5	Flanges, valves and other fittings	
Para 5.4.2.2	Dimensions	
Para 5.4.2.3	Screwed couplings – acceptance	
Para 5.5.2	Cargo and process piping – alternative testing approval	
Para 6.1.5	Tensile strength, yield stress and elongation	
Para 6.3.7.4	Schedule for inspection and NDT	
Section 7.1	Cargo pressure/temperature control	
Paras 8.2.2, 8.2.5 and 8.2.7	Pressure relief devices	
Para 9.5.2	A means of preventing the backflow of cargo	
Para 10.1.5	Electrical equipment installation	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para 11.4.1	Dry chemical powder fire-extinguishing system	
Para 11.5.2	Approval of appropriate fire-extinguishing system for cargo compressor and pump-rooms	
Para 13.5.4	Number and position of temperature indicating devices	
Para 13.6.1	Gas detector equipment	
Para 13.6.13	Portable gas detection equipment	
Para 14.4.5	Provision of space to protect personnel	
Section 15.2	Maximum allowable loading limits – approval of list	
Para 16.5.2	Forced draught system for boilers	
Para 16.5.6	Purging of combustion chambers of boilers	
Para 17.14.2.1	Non-acceptance of cargo discharge compressors on board	
Para 17.20.3.1	Valves, flanges, fittings and accessory equipment material – acceptance	
Para 17.20.13.2	Cargo handling plans – approval	
Para 17.20.14	Maximum allowable tank filling limits – approval of list	
<b>STCW Code, part A</b>		
Section A-I/10.2	Withdrawal of endorsement of recognition – communication to the Party that issued the certificate	
Section A-II/4.4	Determining the requirements of training, assessment and certification where there are no tables of competence for the support level	
Section A-III/4.4	Determining the requirements of training, assessment and certification where there are no tables of competence – for the support level	



SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Section A-VIII/1.1	Fitness of duty – consideration of the danger posed by fatigue of seafarers	
Section A-VIII/1.5	Requirements of watch schedules to be posted in a standardized form	
Section A-VIII/1.7	Requirements of maintaining records of daily hours of rest of seafarers	
Section A-VIII/1.10	Establishment of a limit of alcohol concentration for personnel performing designated duties	
Section A-VIII/2.84	Principles to be observed in keeping radio watch – directing the attention of companies, masters, radio watchkeeping personnel to comply with provisions in part 4-3 to ensure that and adequate safety radio watch is maintained when the ship is at sea	
<b>Res. MEPC.94(46), as amended</b>	Condition assessment scheme	
Para 4.1	Issue instructions to the recognized organization (RO) for Condition Assessment Scheme (CAS) survey	
Para 4.3	Require oil tankers to remain out of service until Statement of Compliance is issued	
Para 7.1.3	CAS surveyors' requirements	
Para 11	Verification of CAS	
Para 12	Reassessment of ships that have failed	
Para 13	Issue, suspension or withdrawal of Statement of Compliance	
Para 14	Communication to IMO	
<b>Res. MSC.215(82)</b>	Performance standard for protective coatings for dedicated seawater ballast tanks in all types of ships and double-side skin spaces of bulk carriers	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para 3.2	Inspection of surface preparation and coating processes	
Para 3.4.1	Coating technical file	
Para 4.4.3	The Technical Data Sheet and Statement of Compliance or Type Approval Certificate – verification	
Section 5	Coating system approval	
Para 6.1.1	Verification of equivalent qualification of coating inspector	
Section 7	Verification requirements	
<b>Res. MSC.288(87)</b>	Performance standard for protective coatings for cargo oil tanks of crude oil tankers	
Para 3.2	Inspection of surface preparation and coating processes – review	
Para 4.6.3	Verification of the Technical Data Sheet and Statement of Compliance or Type Approval Certificate for the protective coating system	
Para 6.1.1	Equivalent to NACE Coating Inspector Level 2 and FROSIO Inspector Level III – verification	
Para 7	Coating verification requirement as referred to in paragraph 7	
<b>Res. MSC.289(87)</b>	Performance standard for alternative means of corrosion protection for cargo oil tanks of crude oil tankers	
Para 2.2	Verification of Technical File	
Para 4.2	Issuance of Type Approval Certificate for corrosion resistant steel	
Para 5	Survey(s) during the construction process to verify that approved corrosion-resistant steel has been applied to the area required	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
<b>Casualty Investigation Code</b>  Para 1/1.3 Para 6/6.2	Qualified person (s) for investigation  Investigation into a very serious marine casualty	
<b>IS Code, 2008</b>  Part A, Ch. 1.2	International Code on Intact Stability, 2008  Criteria demonstrating sufficient ship stability in critical stability situation in waves	
Part A, Ch. 2.1.3 Part A, Ch. 2.3 Part A, Ch. 3	Stability criteria where anti-rolling devices are installed Severe wind and stability criterion Special criteria for certain types of ships	
<b>IMSBC Code</b>  Section 1.3 Section 1.5 Para. 7.3.2.2 Para. 7.3.2.3 Appendix 1, Schedule for Aluminium Ferrosilicon Powder, UN 1395 and Aluminium Silicon Powder, Uncoated, UN 1398	International Maritime Solid Bulk Cargoes Code  Conditions for the carriage of cargoes not listed in the Code  Exemptions  Approval of specially constructed cargo ships  Approval of plan of special arrangements and details of the stability conditions on which the design has been based  Inspection and approval of gastight bulkheads between cargo spaces and engine-room	
Appendix 1, Schedule for Ferrosilicon, UN 1408, and Ferrosilicon	Inspection and approval of gastight bulkheads between cargo spaces and engine-room and approval of safety of bilge pumping arrangement	

## ANNEX 3

### SPECIFIC COASTAL STATE OBLIGATIONS

The following table contains a non-exhaustive list of obligations, including those obligations imposed when a right is exercised.

SPECIFIC COASTAL STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
<b>SOLAS 74</b>		
Reg. V/4	Navigation warnings	
Reg. V/7.1	Search and rescue services – necessary arrangements	
Reg. V/7.2	Search and rescue services – information to IMO	
Reg. V/8	Life-saving signals	
Reg. V/9	Hydrographic services	
Reg. VII/6.1 and 7-4.1	Reporting of incidents involving dangerous goods	
<b>MARPOL</b>		
<b>Annex I</b>		
Reg. 4.3	Exceptions – discharge of substances containing oil for the purpose of combating pollution incidents	
<b>Annex II</b>		
Reg. 3.1.3	Exceptions – approval of discharge of NLS for the purpose of combating pollution incidents	
Reg. 13.2.3	Control of discharges of residues of NLS – agreement and communication to IMO	

ANNEX 4

**SPECIFIC PORT STATE OBLIGATIONS**

The following table contains a non-exhaustive list of obligations, including those obligations imposed when a right is exercised.

<b>SPECIFIC PORT STATE OBLIGATIONS</b>		
<b>SOURCE</b>	<b>SUMMARY DESCRIPTION</b>	<b>COMMENTS</b>
<b>TONNAGE 69</b>		
Art. 12	Inspection	
<b>LL 66 AND LL PROT 88</b>		
Art. 21	Control	amended by LL PROT 88
<b>STCW 78</b>		
Art. X	Control	
Reg. I/4	Control procedures	
<b>SOLAS 74</b>		
Reg. I/6(c)	Ships not allowed to sail	
Reg. I/19	Control	
Reg. VII/7-2.2	Documents relating to carriage of dangerous goods in solid form	
Reg. VIII/11	Special control for nuclear ships	
Reg. XI-1/4	Port State control on operational requirements	
<b>MARPOL</b>		
Art. 5(2)	Certificates and special rules on inspection of ships – port State control	
Art. 5(3)	Certificates and special rules on inspection of ships – denial of entry	

SPECIFIC PORT STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Art. 6(2)	Detection of violations and enforcement of the Convention – inspection	
Art. 6(5)	Detection of violations and enforcement of the Convention – inspection upon request – reporting	
<b>Annex I</b>		
Reg. 2.6.2	Application – an oil tanker delivered on or before 1 June 1982 engaged in specific trades: agreement with flag States	
Reg. 2.6.3	Application – an oil tanker delivered on or before 1 June 1982, engaged in specific trades: approval by port States	
Reg. 11	Port State control on operational requirements	
Reg. 17.7	Oil Record Book, Part I – inspection without undue delay	
Reg. 18.10.1.2	Segregated ballast tanks – oil tanker delivered on or before 1 June 1982 having special ballast arrangements: agreement with flag States	
Reg. 20.8.2	Denial of entry – communication to IMO	
Reg. 21.8.2	Denial of entry – communication to IMO	
Reg. 36.8	Oil Record Book, Part II – inspection without undue delay	
Reg. 38.1, 38.2 and 38.3	Reception facilities outside special areas	
Reg. 38.4 and 38.5	Reception facilities within special areas	
Reg. 38.6	Reception facilities within special areas – notification to IMO	
Reg. 38.7.1	Reception facilities within special areas: "Antarctic area"	
<b>Annex II</b>		
Reg. 4.3.3	Exemptions – approval of adequacy of reception facilities	

SPECIFIC PORT STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. 13.6.1	Control of discharges of residues – endorsement of cargo record book	
Reg. 15.6	Cargo record book – inspection without undue delay	
Reg. 16.1	Measures of control	
Reg. 16.6 and 16.7	Measures of control – exemption granted (endorsement of cargo record book)	
Reg. 16.9	Port State control on operational requirement	
Reg. 18.1 and 18.2	Reception facilities and cargo unloading terminal arrangements	
Reg. 18.4	Cargo unloading terminal arrangements	
<b>Annex III</b>		
Reg. 8	Port State control on operational requirements	
<b>Annex IV</b>		
Reg. 12.1	Provision of reception facilities	
Reg. 12bis.1	Provision of reception facilities for passenger ships in special areas	
Reg. 12bis.2	Measures taken regarding reception facilities for passenger ships in Special Areas – notification to the Organization	
Reg. 13	Port State control on operational requirements	
<b>Annex V</b>		
Reg. 6.3.1	Provision of reception facilities – all garbage from all ships departing on route or arriving from the Antarctic area	
Reg. 8.1	Reception facilities	
Reg. 8.3.1	Reception facilities within special areas	
Reg. 8.3.2	Measures taken regarding provision of reception facilities – notification to the Organization	

SPECIFIC PORT STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. 9	Port State control on operational requirements	
Reg.10.5	Inspection of Garbage Record Book or ship's official logbook	
<b>Annex VI</b>		
Reg. 5.3.3	Necessary assistance to the surveyor as referred to in the paragraph	
Reg. 10	Port State control on operational requirements – for chapter 4, limitation to verification of the availability of a valid International Energy Efficiency Certificate on board	
Reg. 15.2 and 15.3	Volatile organic compounds – approvals of vapour emission control systems and notification to IMO	
Reg. 17.2	Reception facilities as referred to in the paragraph – communication to IMO	
Reg. 18.10	Fuel oil quality – Communication to Party or non-Parties and remedial action	
<b>IBC Code</b>		
Para 15.8.25.3	Certification verifying that the required piping separation	
<b>1994 HSC Code</b>		
Para 1.3.5	Acceptance of the Code	
Para 1.5.6	Provide assistance for surveyors	
Para 1.6	Design approval	
Para 1.9.3	Operational conditions – Permit to Operate	
Para 1.9.4	Port State control	
Para 18.3.8	Training and qualifications	
<b>2000 HSC Code</b>		
Para 1.3.7	Acceptance of the Code	
Para 1.5.6	Provide assistance for surveyors	



SPECIFIC PORT STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para 1.6	Design approval	
Para 1.9.3	Operational conditions – Permit to Operate	
Para 1.9.4	Port State control	
Para 18.3.8	Training and qualifications	
<b>GRAIN Code</b>		
Para 3.4	Document of authorization	
Para 3.5	Document of authorization	
Para 5	Exemptions for certain voyages	
Para 7.2	Stability requirements	
<b>IMSBC Code</b>	International Maritime Solid Bulk Cargoes Code	
Section 1.3	Conditions for the carriage of cargoes not listed in the Code	
Section 1.5	Exemptions	

## ANNEX 5

### INSTRUMENTS MADE MANDATORY UNDER IMO CONVENTIONS

<b>SOLAS 74</b>	Res. MSC.215(82)	reg. II-1/3-2.2
	Res. MSC.133(76), as amended	reg. II-1/3-6.2.1
	Res. MSC.287(87)	reg. II-1/3-10.3
	Res. MSC.288(87)	reg. II-1/3-11.1
	Res. MSC.289(87)	reg. II-1/3-11.2
	2008 IS Code	reg. II-1/5.1
	FSS Code	reg. II-2/3.22
	2010 FTP Code	reg. II-2/3.23
	LSA Code	reg. III/3.10
	IMSBC Code	reg. VI/1-2
	CSS Code, sub-chapter 1.9	reg. VI/2.1
	Grain Code	reg. VI/8.1
	IMDG Code	reg. VII/1.1
	IBC Code	reg. VII/8.1
	IGC Code	reg. VII/11.1
	INF Code	reg. VII/14.1
	ISM Code	reg. IX/1.1
	1994 HSC Code	reg. X/1.1
	2000 HSC Code	reg. X/1.2
	Res. A.739(18), as amended	reg. XI-1/1
	Res. A.789(19)	reg. XI-1/1
	Res. A.744(18), as amended	reg. XI-1/2
	Casualty Investigation Code	reg. XI-1/6
	Res. 4 of the 1997 SOLAS Conf.	reg. XII/1.7
	Res. MSC.169(79)	reg. XII/7.2
	Res. MSC.168(79)	reg. XII/14
<b>MARPOL</b>	Res. MEPC.94(46), as amended	Annex I, reg. 20.6
	IBC Code	Annex II, reg. 1.4
	BCH Code	Annex II, reg. 1.4
	NO <sub>x</sub> Technical Code 2008	Annex VI, reg. 5.3.2
<b>STCW 78</b>	STCW Code, part A	reg. I/1.2.3
<b>LL PROT 1988</b>	2008 IS Code	Annex 1, reg. 1

## ANNEX 6

### **SUMMARY OF AMENDMENTS TO MANDATORY INSTRUMENTS REFLECTED IN THE NON-EXHAUSTIVE LIST OF OBLIGATIONS (ANNEXES 1 TO 4)**

The amendments to mandatory instruments reflected in annexes 1 to 4 are summarized below to facilitate the amendment of corresponding tables in the future.

SOLAS 1974	up to and including 2011 amendments (res. MSC.317(89)), except chapter XI-2, regulation V/19-1 and ISPS Code)
Res. MSC.215(82)	as adopted
Res. MSC.133(76), as amended	up to and including the 2004 amendments (res. MSC.158(78))
Res. MSC.287(87)	as adopted
Res. MSC.288(87)	as adopted
Res. MSC.289(87)	as adopted
2008 IS Code	Up to res. MSC.319(89)(part B only)
FSS Code	up to and including the 2011 amendments (res. MSC.311(88))
2010 FTP Code	up to and including the 2010 amendments (res. MSC.307(88))
LSA Code	Up to res. MSC.320(89)
IMSBC Code	up to and including the 2011 amendments (res. MSC. 318(89))
CSS Code, sub-chapter 1.9	up to and including the 2002 amendments (MSC/Circ.1026)
GRAIN Code	up to and including the 1991 amendments (res. MSC.23(59))
IMDG Code	up to and including the 2010 amendments (res. MSC. 294(87))
IBC Code	up to and including the 2006 amendments (res. MSC.219(82) and res. MEPC.166(56))
IGC Code	up to and including the 2006 amendments (res. MSC.220(82))
INF Code	up to and including the 2007 amendments (res. MSC.241(83))
ISM Code	up to and including the 2008 amendments (res. MSC.273(85))
1994 HSC Code	up to and including the 2008 amendments (res. MSC.259(84))
2000 HSC Code	up to and including the 2008 amendments (res. MSC.271(85))
Res. A.739(18)	up to and including 2006 amendments (res. MSC.208(81))
Res. A.789(19)	no amendments yet adopted
Res. A.744(18), amended	up to and including the 2008 amendments (res. MSC.261(84))
Casualty Investigation Code	res. MSC.255(84)

Res. 4 of the 1997 SOLAS Conf.	no amendments yet adopted
Res. MSC.169(79)	no amendments yet adopted
Res. MSC.168(79)	no amendments yet adopted
SOLAS PROT 1978	up to and including the 1988 amendments (resolution of the 1988 GMDSS-P Conference)
SOLAS PROT 1988	up to and including the 2010 amendments (res. MSC.309 (88))
MARPOL	up to and including the 2012 (res. MEPC.217(63)) amendments
Res. MEPC.94(46), as amended	up to and including the 2006 amendments (res. MEPC.155(55))
IBC Code	up to and including the 2006 amendments (res. MEPC.166(56) and res. MSC.219(82))
BCH Code	up to and including the 2006 amendments (res. MEPC.144(54) and res. MSC.212(81))
NO <sub>x</sub> Technical Code 2008	up to and including the 2012 amendments (res. MEPC. 217(63))
STCW 1978	up to and including the Manila amendments (STCW/Conf.2/res.1), except regulations VI/5.2, 6.3 and 6.6
STCW Code, part A	up to and including the Manila amendments (STCW/Conf.2/res.2)
LL 1966	up to and including the 2005 amendments (res. A.972(24))
LL PROT 1988	up to and including the 2008 amendments (res. MSC.270(85))
TONNAGE 1969	no amendments yet adopted
COLREG 1972	up to and including the 2001 amendments (res. A.910(22))

ANNEX 7

**AMENDMENTS<sup>3</sup> TO IMO INSTRUMENTS EXPECTED TO BE ACCEPTED  
AND TO ENTER INTO FORCE BETWEEN 1 JANUARY 2014 AND 1 JULY 2014**

The following tables contain non-exhaustive lists of obligations, including those obligations imposed when a right is exercised.

<b>OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES</b>		
<b>SOURCE</b>	<b>SUMMARY DESCRIPTION</b>	<b>COMMENTS</b>
<b>MARPOL</b> <u>Annex III, reg. 1.3</u>	<u>Application – issue detailed requirements on packing, marking, labelling, documentation, stowage, quantity limitations and exceptions for preventing or minimizing pollution of the marine environment by harmful substances</u>	<u>In force 1.1.2014 by MEPC.193(61)</u>
<b>IMDG Code</b>  <u>Ch 3.3 SP356</u>	<u>Approval of metal hydride storage systems installed in vehicles, vessels or aircrafts or in completed components or intended to be installed in vehicles, vessels or aircrafts</u>	<u>In force 1/1/2014 by MSC.328(90)</u>
<u>Section 5.4.1</u>	<u>Information required in addition to the dangerous goods description – role of the competent authority</u>	<u>In force 1/1/2014 by MSC.328(90)</u>
<u>Section 6.2.3</u>	<u>The marking of salvage pressure receptacles – determination by the competent authority</u>	<u>In force 1/1/2014 by MSC.328(90)</u>
<u>Section 7.1.44</u> <u>7.1.4.5</u>	<u>Stowage of goods of class 7 – role of competent authority</u>	<u>In force 1/1/2014 by MSC.328(90)</u>

<sup>3</sup> The struck-out text indicates deletions and the underlined text shows additions or changes, to the non-exhaustive list of obligations.

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
<b>SOLAS</b>		
<u>Reg. V/14.2</u>	<u>Establishing appropriate minimum safe manning following a transparent procedure and issuing an appropriate minimum safe manning document or equivalent</u>	<u>In force 1/1/2014 by MSC.325(90)</u>
<b><u>2011 ESP Code<sup>4</sup></u></b>		
<b><u>Annex A, part A</u></b>		
<u>3.3.4</u>	<u>Supervision on repair of cargo hatch securing system</u>	<u>In force 1/1/2014 by A.1049(27)</u>
<u>5.1.1</u>	<u>Cooperation on development of a specific survey programme</u>	<u>In force 1/1/2014 by A.1049(27)</u>
<u>5.1.4</u>	<u>Advice on the maximum acceptable structural diminution levels</u>	<u>In force 1/1/2014 by A.1049(27)</u>
<u>5.2.2</u>	<u>Agreement on provisions for proper and safe access</u>	<u>In force 1/1/2014 by A.1049(27)</u>
<u>8.1.2</u>	<u>Evaluation of survey report</u>	<u>In force 1/1/2014 by A.1049(27)</u>
<u>8.2.3</u>	<u>Endorsement on condition evaluation report</u>	<u>In force 1/1/2014 by A.1049(27)</u>
<u>Annex 4B, para 1</u>	<u>Cooperation on development of a survey programme</u>	<u>In force 1/1/2014 by A.1049(27)</u>
<u>Annex 5, para 3.1</u>	<u>Certification of a company engaged in thickness measurement</u>	<u>In force 1/1/2014 by A.1049(27)</u>
<b><u>Annex A, part B</u></b>		<u>In force 1/1/2014 by A.1049(27)</u>
<u>3.3.4</u>	<u>Supervision on repair of cargo hatch securing system</u>	<u>In force 1/1/2014 by A.1049(27)</u>
<u>5.1.1</u>	<u>Cooperation on development of a specific survey programme</u>	<u>In force 1/1/2014 by A.1049(27)</u>
<u>5.1.4</u>	<u>Advice on the maximum acceptable structural diminution levels</u>	<u>In force 1/1/2014 by A.1049(27)</u>
<u>5.2.2</u>	<u>Agreement on provisions for proper and safe access</u>	<u>In force 1/1/2014 by A.1049(27)</u>
<u>8.1.2</u>	<u>Evaluation of survey report</u>	<u>In force 1/1/2014 by A.1049(27)</u>

<sup>4</sup> All items under resolution A.744(18) are deleted.

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
<u>8.2.3</u>	<u>Endorsement on condition evaluation report</u>	In force 1/1/2014 by <u>A.1049(27)</u>
<u>Annex 4B, para 1</u>	<u>Cooperation on development of a survey programme</u>	In force 1/1/2014 by <u>A.1049(27)</u>
<u>Annex 5, para 3.1</u>	<u>Certification of a company engaged in thickness measurement</u>	In force 1/1/2014 by <u>A.1049(27)</u>
<b><u>Annex B, part A</u></b>		
<u>5.1.1</u>	<u>Cooperation on development of a specific survey programme</u>	In force 1/1/2014 by <u>A.1049(27)</u>
<u>5.1.4</u>	<u>Advice on the maximum acceptable structural diminution levels</u>	In force 1/1/2014 by <u>A.1049(27)</u>
<u>5.2.1.1</u>	<u>Agreement on provisions for proper and safe access</u>	In force 1/1/2014 by <u>A.1049(27)</u>
<u>8.1.3</u>	<u>Evaluation of survey report</u>	In force 1/1/2014 by <u>A.1049(27)</u>
<u>8.2.3</u>	<u>Endorsement on condition evaluation report</u>	In force 1/1/2014 by <u>A.1049(27)</u>
<u>Annex 6B</u>	<u>Cooperation on development of a survey programme</u>	In force 1/1/2014 by <u>A.1049(27)</u>
<u>Annex 7, para 3.1</u>	<u>Certification of a company engaged in thickness measurement</u>	In force 1/1/2014 by <u>A.1049(27)</u>
<b><u>Annex B, part B</u></b>		
<u>5.1.1</u>	<u>Cooperation on development of a specific survey programme</u>	In force 1/1/2014 by <u>A.1049(27)</u>
<u>5.1.4</u>	<u>Advice on the maximum acceptable structural diminution levels</u>	In force 1/1/2014 by <u>A.1049(27)</u>
<u>5.2.1.1</u>	<u>Agreement on provisions for proper and safe access</u>	In force 1/1/2014 by <u>A.1049(27)</u>
<u>8.1.3</u>	<u>Evaluation of survey report</u>	In force 1/1/2014 by <u>A.1049(27)</u>
<u>8.2.3</u>	<u>Endorsement on condition evaluation report</u>	In force 1/1/2014 by <u>A.1049(27)</u>
<u>Annex 6B</u>	<u>Cooperation on development of a survey programme</u>	In force 1/1/2014 by <u>A.1049(27)</u>
<u>Annex 7, para 3.1</u>	<u>Certification of a company engaged in thickness measurement</u>	In force 1/1/2014 by <u>A.1049(27)</u>

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
<b>FSS Code</b>		
<u>Para 6/3.1.2</u>	<u>Foam concentrates of high-expansion foam fire-extinguishing systems – approval</u>	<u>In force 1/1/2014 by MSC.327(90)</u>
<u>Para 6/4.1</u>	<u>Foam concentrates of low-expansion foam fire-extinguishing systems - approval</u>	<u>In force 1/1/2014 by MSC.327(90)</u>
<u>Para 5/2.54</u>	Equivalent systems - approval	In force 1/7/2014 by MSC.339(91)
<u>Para 7/2.4</u>	<u>Fixed water-based fire-fighting system for ro-ro spaces, vehicle spaces and special category spaces – approval</u>	In force 1/7/2014 by MSC.339(91)
<u>Para 14/2.2.1.2</u>	<del>Medium expansion ratio foam – application rate, etc.</del>	Chapter 14 replaced by MSC.339(91)
<u>Para 14/2.2.1.4</u>	<u>Foam concentrate supplied on board for cargoes intended to be carried – approval</u>	In force 1/7/2014 by MSC.339(91)
<b>Noise Code</b>		
		<u>Mandatory under SOLAS II-1/3-12 (in force 1/7/2014 by MSC.338(91))</u>
<u>Para 3.3.9</u>	<u>Operating conditions at sea trials for ships with dynamic positioning (DP)</u>	<u>In force 1/7/2014 by MSC.337(91)</u>

SPECIFIC PORT STATE OBLIGATIONS		
<u>SOURCE</u>	<u>SUMMARY DESCRIPTION</u>	<u>COMMENTS</u>
<b>MARPOL</b>		
<u>Annex III, reg. 8</u>	<u>Port State control on operational requirements</u>	<u>In force 1/1/2014 by MEPC.193(61)</u>

\*\*\*



## **ANNEX 9**

### **DRAFT MSC-MEPC.5 CIRCULAR**

#### **UNIFIED INTERPRETATION OF THE APPLICATION OF REGULATIONS GOVERNED BY THE BUILDING CONTRACT DATE, THE KEEL LAYING DATE AND THE DELIVERY DATE FOR THE REQUIREMENTS OF THE SOLAS AND MARPOL CONVENTIONS**

1 The Marine Environment Protection Committee, at its [sixty-fifth session (13 to 17 May 2013)], and the Maritime Safety Committee, at its [ninety-second session (12 to 21 June 2013)], approved the circular on the unified interpretation of the application of regulations governed by the building contract date, the keel laying date and the delivery date for the requirements of the SOLAS and MARPOL Conventions prepared by the Sub-Committee on Flag State Implementation, as set out in the annex, with a view to providing more specific guidance for application of the relevant requirements of the SOLAS and MARPOL Conventions.

2 Member Governments are invited to use the annexed interpretation from [...June 2013] when applying relevant provisions of the SOLAS and MARPOL Conventions and to bring it to the attention of all parties concerned.

3 This circular supersedes MSC-MEPC.5/Circ.4.

\* \* \*

ANNEX

**UNIFIED INTERPRETATION OF THE APPLICATION OF REGULATIONS GOVERNED BY  
THE BUILDING CONTRACT DATE, THE KEEL LAYING  
DATE AND THE DELIVERY DATE FOR THE REQUIREMENTS OF  
THE SOLAS AND THE MARPOL CONVENTIONS**

1 Under certain provisions of the SOLAS and MARPOL Conventions, the application of regulations to a ship is governed by the dates:

- .1 for which the building contract is placed on or after dd/mm/yyyy; or
- .2 in the absence of a building contract, the keel of which is laid or which is at a similar stage of construction on or after dd/mm/yyyy; or
- .3 the delivery of which is on or after dd/mm/yyyy.

2 For the application of such provisions, the date on which the building contract is placed for optional ships should be interpreted to be the date on which the original building contract to construct the series of ships is signed between the shipowner and the shipbuilder provided:

- .1 the option for construction of the optional ship(s) is ultimately exercised within the period of one year after the date of the original building contract for the series of ships; and
- .2 the optional ships are of the same design plans and constructed by the same shipbuilder as that for the series of ships.

3 The application of regulations governed as described in paragraph 1, above, is to be applied as follows:

- .1 if a building contract signing date occurs on or after the contract date specified for a particular set of regulation amendments, then, that set of regulation amendments applies;
- .2 only in the absence of a building contract does the keel laying date criteria apply and, if a ship's keel laying date occurs on or after the keel laying date specified for a particular set of regulation amendments, then, that set of regulation amendments applies; and
- .3 regardless of the building contract signing date or keel laying date, if a ship's delivery date occurs on or after the delivery date specified for a particular set of regulation amendments, then, that set of regulation amendments applies except in the case where the Administration has accepted that the delivery of the ships was delayed due to unforeseen circumstances beyond the control of the shipbuilder and the owner\*. The delivery date means the completion date (day, month and year) of the survey on which the certificate is based (i.e. the initial survey before the ship is put into service and certificate issued for the first time) as entered on the relevant statutory certificates.

\*\*\*

---

\* Refer to Unified Interpretation of "Unforeseen delay in the delivery of ships" (MSC.1/Circ.1247 and MARPOL Annex I, Unified Interpretation 4).

**ANNEX 10**  
**DRAFT BIENNIAL AGENDA FOR THE 2014-2015 BIENNIUM**

PLANNED OUTPUTS 2014-2015					
Number	Description	Parent organ(s)	Coordinating organ(s)	Associated organ(s)	Target completion year
1.1.2.1	Cooperation with FAO: preparation and holding of the third meeting of the Joint IMO/FAO Working Group on IUU fishing and related matters, including the adoption of a new treaty to facilitate the implementation of the technical provisions to the 1993 Torremolinos Protocol	MSC / MEPC	FSI / SLF		2013
Notes: FSI 21: To be included in the 2014-2015 biennium with TCY changed to 2015 to allow for the holding of the third JWG and the consideration of its report. One JWG meeting every five years					
1.1.2.2	Cooperation with IACS: consideration of unified interpretations	MSC / MEPC		BLG / DE / FP / FSI / NAV / SLF	Continuous
Notes: To be included in the 2014-2015 biennium					
1.1.2.5	Cooperation with ILO: development of PSC guidelines on seafarers' hours of rest taking into account the Maritime Labour Convention, 2006	MSC	FSI	STW	2013
Notes: FSI 21: To be included in the 2014-2015 biennium with TCY changed to "2015". Output to be renamed "Cooperation with ILO: development of PSC guidelines on seafarers' hours of rest, taking into account common areas in the PSC guidelines in the context of the Maritime Labour Convention, 2006, and relevant IMO instruments.					
1.1.2.8	Cooperation with data providers: protocols on data exchange with international, regional and national entities	MSC / MEPC / FAL / LEG / TCC	FSI / Secretariat	Secretariat	Continuous
Notes: FSI 21: To be included in the 2014-2015 biennium. Words "Report on" to be added at the beginning of the output name. TCY changed to "Annual"					
1.1.2.23	Policy input/guidance to ILO: development of PSC guidelines in the context of the Maritime Labour Convention, 2006	MSC	FSI		Continuous
Notes: FSI 21: duplicate. To be deleted to keep only output 1.1.2.5					

Number	Description	Parent organ(s)	Coordinating organ(s)	Associated organ(s)	Target completion year
1.1.2.24	Policy input/guidance to ILO/FAO: Preparation and holding of the third meeting of the Joint FAO/IMO ad hoc Working Group on IUU Fishing and Related Matters (JWG)	MSC	FSI	SLF	2013
Notes: FSI 21: Duplication. To be deleted and to keep only output 1.1.2.1					
1.1.2.26	Policy input/guidance to PSC regimes: related IMO developments	MSC / MEPC	FSI		Continuous
Notes: FSI 21: To be included in the 2014-2015 biennium. Words "Report on" to be added at the beginning of the output name. TCY changed to "Annual"					
2.0.1.8	Additional guidelines for implementation of the BWM Convention, including port State control	MEPC	BLG / FSI		2013
Notes: FSI 21: To be included in the 2014-2015 biennium with TCY to be changed to 2015 BLG 17: (same to FSI 21)					
2.0.1.13	Development of a Code for Recognized Organizations	MSC / MEPC	FSI		2013
Notes: FSI 21: Completed at Sub-Committee level.					
2.0.1.18	Unified interpretations of the MARPOL regulations	MEPC	BLG / COMSAR / DE / DSC / FP / FSI / NAV / SLF / STW		Continuous
Notes: FSI 21: To be included in the 2014-2015 biennium					
2.0.1.19	Comprehensive review of issues related to the responsibilities of Governments and development of measures to encourage flag State compliance	MSC / MEPC	FSI	FSI	Continuous
Notes: FSI 21: To be included in the 2014-2015 biennium. The Sub-Committee, as being the sole sub-committee listed, to be the coordinating organ under the Committees					
2.0.1.21	Summary reports and analyses of mandatory reports under MARPOL	MEPC	Secretariat	FSI	Continuous
2.0.1.22	GISIS module on mandatory and non-mandatory requirements	MSC / MEPC / FAL / LEG / TCC	Secretariat	FSI	Annual
Notes: FSI 21: To be included in the 2014-2015 biennium					

Number	Description	Parent organ(s)	Coordinating organ(s)	Associated organ(s)	Target completion year
2.0.2.1	Review of the Code for the Implementation of Mandatory IMO Instruments and consolidated audit summary reports, adoption of the new IMO Instruments Implementation (III) Code and making the III Code and auditing mandatory	Assembly	Council	MSC / MEPC / FSI	2013
Notes: Responsible organs/divisions aligned with MSC 90/28/Add.1/Rev.1 annex 31 and MEPC 64/23/Add.1 annex 29. FSI 21: To be included in the 2014-2015 biennium with a TCY changed to "2015", for the review of the CASRs, and name changed to read "Review of consolidated audit summary reports and making the IMO Instruments Implementation Code (III Code) and auditing mandatory".					
4.0.2.1	Guidance on the establishment or further development of information systems (databases, websites, etc.) as part of GISIS	MSC / MEPC / FAL / LEG / TCC	Secretariat	FSI	Continuous
Notes: FSI 21: To be included in the 2014-2015 biennium. To be amended to read: "Development, maintenance and enhancement of information systems and related guidance (GISIS, websites, etc.)". Secretariat coordinating and FSI associated					
4.0.2.2	Development and management of mandatory IMO number schemes	MSC	FSI	Secretariat	Continuous
Notes: FSI 21: To be included in the 2014-2015 biennium. To be renamed "Review and management of the IMO ship identification number scheme (resolution A.600(15)) and company and registered owner number scheme (resolution MSC.160(78))". TCY to be changed to "Annual"					
4.0.2.3	Protocols on data exchange with other international, regional and national data providers	MSC / MEPC / FAL / LEG / TCC	FSI	Secretariat	Continuous
Notes: FSI 21: Duplication. To be deleted to keep only output 1.1.2.8					
5.1.2.1	Making the provisions of MSC.1/Circ.1206/Rev.1 mandatory	MSC	DE	FSI / NAV / STW	2013
Notes: FSI 21: No work was required. To be included in the 2014-2015 biennium with TCY 2014 to consider the relevant outcome of DE 57					
5.1.2.2	Development of measures to protect the safety of persons rescued at sea	MSC / FAL	COMSAR	FSI	2013
Notes: FSI 21: No work was required. To be included in the 2014-2015 biennium with TCY 2015 to consider relevant outcome from the COMSAR Sub-Committee and the FAL and MSC Committees					
5.2.1.7	Review of general cargo ship safety	MSC	FP	DE / DSC / FSI / NAV / SLF / STW	2013
Notes: FSI 21: To be included in the 2014-2015 biennium. TCY changed to 2014					

Number	Description	Parent organ(s)	Coordinating organ(s)	Associated organ(s)	Target completion year
5.2.1.18	Development of a non-mandatory instrument on regulations for non-convention ships	MSC	FSI	BLG / COMSAR / DE / FP / NAV / SLF / STW	2013
Notes: FSI 21: To be included in the 2014-2015 biennium with TCY 2017					
5.2.1.19	Review and update of the Survey Guidelines under the Harmonized System of Survey and Certification and the annexes to the Code for the Implementation of Mandatory IMO Instruments	MSC / MEPC	FSI		2013
Notes: FSI 21: To be included in the 2014-2015 biennium. TCY to be changed to "Continuous" and to be renamed to read "Review and update of the Survey Guidelines under the Harmonized System of Survey and Certification and the non-exhaustive list of obligations under instruments relevant to the IMO Instruments Implementation Code (III Code)"					
5.3.1.2	Review of procedures for PSC	MSC / MEPC	FSI		2013
Notes: FSI 21: Duplication. To be deleted. To keep only output 5.3.1.4					
5.3.1.4	Promote the harmonization of PSC activities	MSC / MEPC	FSI		Continuous
Notes: FSI 21: To be included in the 2014-2015 biennium. To be renamed to read "Harmonization of PSC activities"					
5.3.1.5	Methodology for the in-depth analysis of annual PSC reports	MSC / MEPC	FSI		2013
Notes: FSI 21: To be deleted.					
5.3.1.6	A risk assessment comparison between marine casualties and incidents and PSC inspections	MSC / MEPC	FSI		Continuous
Notes: FSI 21: to be deleted					
7.1.2.6	Measures to promote the AFS Convention	MEPC		FSI	2013
Notes: FSI 21: To be deleted. Completed at FSI 19					
7.1.3.1	Reports on inadequacy of port reception facilities	MEPC	FSI		Annual
7.1.3.2	Follow-up to the implementation of the Action Plan on port reception facilities	MEPC	FSI		2013
Notes: FSI 21: to be deleted					

Number	Description	Parent organ(s)	Coordinating organ(s)	Associated organ(s)	Target completion year
8.0.3.2	Electronic access to, or electronic versions of, certificates and documents required to be carried on ships	FAL	MSC / MEPC / LEG	LEG / FSI	2013
Notes: FSI 21: To be included in the 2014-2015 biennium with TCY 2015					
8.0.4.3	First half of the stakeholders' consultation completed, second half ongoing; analysis of the responses (i.e. identification and assessment of administrative requirements in mandatory IMO instruments that are perceived as being a burden) ongoing	Council	MSC / MEPC / FAL / LEG / TCC	BLG / COMSAR / DE / DSC / FP / FSI / NAV / SLF / STW / Secretariat	2013
12.1.2.1	Collection and analysis of casualty and PSC data to identify trends and develop knowledge and risk-based recommendations	MSC / MEPC	FSI		Continuous
Notes: To be deleted and moved to 12.3.1.1 as the high level action is more accurate					
12.3.1.1	Guidance on the development of GISIS and on access to information	MSC / MEPC	DSC / FSI	BLG / FP / NAV / STW	Continuous
Notes: FSI 21: To be included in the 2014-2015 biennium. Duplication with output 4.0.2.1. To be renamed "Collection and analysis of casualty and PSC data to identify trends and develop knowledge and risk-based recommendations" as the high level action is more accurate. FSI as the coordinating organ and all other sub-committees as associated organs					
12.3.1.2	PSC data collected and disseminated in cooperation with PSC regimes	MSC	FSI / Secretariat	Secretariat	Annual
Notes: FSI 21: To be deleted					
12.3.1.3	Consideration of reports of incidents involving dangerous goods or marine pollutants in packaged form on board ships or in port areas	MSC / MEPC	DSC	FSI	Continuous
Notes: FSI 21: It was suggested that the DSC Sub-Committee review the need for this output which may be covered by amended output 12.3.1.1					
13.0.2.1	Guidance for the Secretariat on the development of GISIS and on access to information	MEPC	FSI		Continuous
Notes: FSI 21: Duplication. To be deleted to keep only output 4.0.2.1					

\*\*\*





## **ANNEX 11**

### **PROVISIONAL AGENDA FOR THE NEXT SESSION OF THE SUB-COMMITTEE**

- Opening of the session and election of the Chairman and Vice-Chairman for 2014
- 1 Adoption of the agenda
  - 2 Decisions of other IMO bodies
  - 3 Responsibilities of Governments and measures to encourage flag State compliance
  - 4 Mandatory reports under MARPOL
  - 5 Casualty analysis and statistics
  - 6 Harmonization of port State control activities
  - 7 PSC Guidelines on seafarers' hours of rest and PSC guidelines in relation to the Maritime Labour Convention, 2006
  - 8 Development of guidelines on port State control under the 2004 BWM Convention
  - 9 Comprehensive analysis of difficulties encountered in the implementation of IMO instruments
  - 10 Review and update of the Survey Guidelines under the Harmonized System of Survey and Certification (HSSC) and the non-exhaustive list of obligations under instruments relevant to the IMO Instruments Implementation Code (III Code)
  - 11 Consideration of IACS Unified Interpretations
  - 12 Measures to protect the safety of persons rescued at sea
  - 13 Illegal unregulated and unreported (IUU) fishing and related matters
  - 14 Review of general cargo ship safety
  - 15 Biennial agenda and provisional agenda for the next session of the Sub-Committee
  - 16 Election of Chairman and Vice-Chairman for 2015
  - 17 Any other business
  - 18 Report to the Committees

\*\*\*



## ANNEX 12

### REPORT ON THE STATUS OF PLANNED OUTPUTS FOR THE 2012-2013 BIENNIUM

Planned output number	Description	Target completion year	Parent organ(s)	Coordinating organ(s)	Associated organ(s)	Status of output for Year 1	Status of output for Year 2	References
1.1.2.1	Cooperation with FAO: preparation and holding of the third meeting of the Joint IMO/FAO Working Group on IUU fishing and related matters, including the adoption of a new treaty to facilitate the implementation of the technical provisions to the 1993 Torremolinos Protocol	2013	MSC / MEPC	FSI / SLF		In progress	Postponed	MSC 89/25, paragraphs 9.15 to 9.38 and annex 18; Draft Agreement to facilitate implementation of 1993 Torremolinos Protocol to be adopted by Diplomatic Conference in October 2012
1.1.2.2	Cooperation with IACS: consideration of unified interpretations	Continuous	MSC / MEPC		BLG / DE / FP / FSI / NAV / SLF	Ongoing	Ongoing	MSC.1/Circs.1416, 1422 to 1427, 1429, 1433 to 1437, LL.3/Circ.208
1.1.2.5	Cooperation with ILO: development of PSC guidelines on seafarers' hours of rest taking into account the Maritime Labour Convention, 2006	2013	MSC	FSI	STW	In progress	Postponed	

Planned output number	Description	Target completion year	Parent organ(s)	Coordinating organ(s)	Associated organ(s)	Status of output for Year 1	Status of output for Year 2	References
1.1.2.8	Cooperation with data providers: protocols on data exchange with international, regional and national entities	Continuous	MSC / MEPC / FAL / LEG / TCC	FSI / Secretariat	Secretariat	Ongoing	Ongoing	
1.1.2.23	Policy input/guidance to ILO: development of PSC guidelines in the context of the Maritime Labour Convention, 2006	Continuous	MSC	FSI		In progress	In progress	
1.1.2.24	Policy input/guidance to ILO/FAO: Preparation and holding of the third meeting of the Joint FAO/IMO ad hoc Working Group on IUU Fishing and Related Matters (JWG)	2013	MSC	FSI	SLF	In progress	In progress	
1.1.2.26	Policy input/guidance to PSC regimes: related IMO developments	Continuous	MSC / MEPC	FSI		Ongoing	Ongoing	Resolution A.1052(27) on Procedures for port State control, 2011
2.0.1.8	Additional guidelines for implementation of the BWM Convention, including port State control	2013	MEPC	BLG / FSI		In progress	Postponed	
2.0.1.13	Development of a Code for Recognized Organizations	2013	MSC / MEPC	FSI		In progress	Completed	MEPC 64/23, annex 23 – MSC 91/22, annex 19

Planned output number	Description	Target completion year	Parent organ(s)	Coordinating organ(s)	Associated organ(s)	Status of output for Year 1	Status of output for Year 2	References
2.0.1.18	Unified interpretations of the MARPOL regulations	Continuous	MEPC	BLG / COMSAR / DE / DSC / FP / FSI / NAV / SLF / STW		Ongoing	Ongoing	MEPC.1/Circ.795; MEPC 64/23, annex 13 and annex 16
2.0.1.19	Comprehensive review of issues related to the responsibilities of Governments and development of measures to encourage flag State compliance	Continuous	MSC / MEPC	FSI	FSI	Ongoing	Ongoing	
2.0.1.21	Summary reports and analyses of mandatory reports under MARPOL	Continuous	MEPC	Secretariat	FSI	Ongoing	Ongoing	
2.0.1.22	GISIS module on mandatory and non-mandatory requirements	Annual	MSC / MEPC / FAL / LEG / TCC	Secretariat	FSI	Ongoing	Ongoing	
2.0.2.1	Review of the Code for the Implementation of Mandatory IMO Instruments and consolidated audit summary reports, adoption of the new IMO Instruments Implementation (III) Code and making the III Code and auditing mandatory	2013	Assembly	Council	MSC / MEPC / FSI	In progress	Postponed	A.1054(27) on Code for the implementation of mandatory IMO instruments, 2011

Planned output number	Description	Target completion year	Parent organ(s)	Coordinating organ(s)	Associated organ(s)	Status of output for Year 1	Status of output for Year 2	References
4.0.2.1	Guidance on the establishment or further development of information systems (databases, websites, etc.) as part of GISIS	Continuous	MSC / MEPC / FAL / LEG / TCC	Secretariat	FSI	Ongoing	Ongoing	
4.0.2.2	Development and management of mandatory IMO number schemes	Continuous	MSC	FSI	Secretariat	Ongoing	Ongoing	
4.0.2.3	Protocols on data exchange with other international, regional and national data providers	Continuous	MSC / MEPC / FAL / LEG / TCC	FSI	Secretariat	Ongoing	Ongoing	
5.1.2.1	Making the provisions of MSC.1/Circ.1206/Rev.1 mandatory	2013	MSC	DE	FSI / NAV / STW	In progress	Postponed	
5.1.2.2	Development of measures to protect the safety of persons rescued at sea	2013	MSC / FAL	COMSAR	FSI	In progress	Postponed	
5.2.1.7	Review of general cargo ship safety	2013	MSC	FP	DE / DSC / FSI / NAV / SLF / STW		Postponed	MSC 90/28, para. 25.10
5.2.1.18	Development of a non-mandatory instrument on regulations for non-convention ships	2013	MSC	FSI	BLG / COMSAR / DE / FP / NAV / SLF / STW	In progress	Postponed	

Planned output number	Description	Target completion year	Parent organ(s)	Coordinating organ(s)	Associated organ(s)	Status of output for Year 1	Status of output for Year 2	References
5.2.1.19	Review and update of the Survey Guidelines under the Harmonized System of Survey and Certification and the annexes to the Code for the Implementation of Mandatory IMO Instruments	2013	MSC / MEPC	FSI		Ongoing	Ongoing	A.1053(27) on Survey Guidelines under the Harmonized System of Survey and Certification (HSSC), 2011; A.1054(27) on Code for the implementation of mandatory IMO instruments, 2011
5.3.1.2	Review of procedures for PSC	2013	MSC / MEPC	FSI		Ongoing	Ongoing	
5.3.1.4	Promote the harmonization of PSC activities	Continuous	MSC / MEPC	FSI		Ongoing	Ongoing	
5.3.1.5	Methodology for the in-depth analysis of annual PSC reports	2013	MSC / MEPC	FSI		Postponed	Postponed	
5.3.1.6	A risk assessment comparison between marine casualties and incidents and PSC inspections	Continuous	MSC / MEPC	FSI		Postponed	Postponed	
7.1.2.6	Measures to promote the AFS Convention	2013	MEPC		FSI	Completed		
7.1.3.1	Reports on inadequacy of port reception facilities	Annual	MEPC	FSI		Ongoing	Ongoing	

Planned output number	Description	Target completion year	Parent organ(s)	Coordinating organ(s)	Associated organ(s)	Status of output for Year 1	Status of output for Year 2	References
7.1.3.2	Follow-up to the implementation of the Action Plan on port reception facilities	2013	MEPC	FSI		Ongoing	Completed	
8.0.3.2	Electronic access to, or electronic versions of, certificates and documents required to be carried on ships	2013	FAL	MSC / MEPC / LEG	LEG / FSI		Postponed	
8.0.4.3	First half of the stakeholders' consultation completed, second half ongoing; analysis of the responses (i.e. identification and assessment of administrative requirements in mandatory IMO instruments that are perceived as being a burden) ongoing	2013	Council	MSC / MEPC / FAL / LEG / TCC	BLG / COMSAR / DE / DSC / FP / FSI / NAV / SLF / STW / Secretariat	Ongoing	Ongoing	
12.1.2.1	Collection and analysis of casualty and PSC data to identify trends and develop knowledge and risk-based recommendations	Continuous	MSC / MEPC	FSI		Ongoing	Ongoing	
12.3.1.1	Guidance on the development of GISIS and on access to information	Continuous	MSC / MEPC	DSC / FSI	BLG / FP / NAV / STW	Ongoing	Ongoing	



Planned output number	Description	Target completion year	Parent organ(s)	Coordinating organ(s)	Associated organ(s)	Status of output for Year 1	Status of output for Year 2	References
12.3.1.2	PSC data collected and disseminated in cooperation with PSC regimes	Annual	MSC	FSI / Secretariat	Secretariat	Ongoing	Ongoing	
12.3.1.3	Consideration of reports of incidents involving dangerous goods or marine pollutants in packaged form on board ships or in port areas	Continuous	MSC / MEPC	DSC	FSI	Ongoing	Ongoing	
13.0.2.1	Guidance for the Secretariat on the development of GISIS and on access to information	Continuous	MEPC	FSI		Ongoing	Ongoing	

\*\*\*



## ANNEX 13

### STATEMENTS BY DELEGATIONS\*

#### ITEM 1

##### Statement by the delegation of Malta

On Sunday 10 February 2013, a lifeboat accident occurred on board the Maltese-registered passenger ship **Thomson Majesty** in the port of Santa Cruz de la Palma in the Canary Islands. During a routine lifeboat drill, a lifeboat fell from a height, capsizing and trapping eight crew members inside. Five crew members (three Indonesian nationals, a Filipino national and a Ghanaian national) lost their lives as a result of the accident. The other three crew members (two Greek nationals and a Filipino national) were rescued with the assistance of local authorities and escaped with minor injuries.

The Government of Malta would like to express its sincere condolences in this tragic incident to the families, friends and colleagues of the deceased seafarers and to the Governments of Ghana, Indonesia and the Philippines. Malta would also like to take this opportunity to express deep gratitude to the Spanish Authorities for their efforts to assist the injured crew members, for their cooperation in the aftermath of the accident, and during the course of the safety investigation where they are participating as a substantially interested State.

The Maltese Authorities are investigating the cause of the lifeboat accident. Investigations are still underway in order to identify the causal and contributing factors that led to the accident. Additionally, as an interim measure, the integrity of all the other lifeboats and launching systems of the ship has been assessed under the supervision of the vessel's classification society.

The Maltese Authorities are analysing the evidence collected at the site of the accident and have afforded all the necessary resources in order to finalise the safety investigation in a reasonable period of time and shall be publishing its findings in due course. In the interim, the Marine Safety Investigation Unit has issued a safety alert to the maritime industry based on the preliminary findings of the safety investigation. Also bearing in mind the significant number of lifeboat occurrences over the years, the Maltese Authorities give utmost priority to safety and in this respect continuously maintain their efforts towards improved safety standards. One of the measures to this effect is that, since June 2011, it has been made mandatory for Maltese flagged ships to comply with the provisions set out in the IMO Guidelines for the Fitting and Use of Fall Preventer Devices (FPDs) (MSC.1/Circ.1327) by not later than 1 January 2013.

Malta welcomes all reasonable and practical actions with the aim of improving lifeboat safety and remains committed to actively contribute to the development of measures to achieve this objective. Malta is strongly committed to enforce existing rules and to disseminate safety lessons on best practices as identified from safety investigations conducted by the Member States. Keeping this in mind, Malta fully supports the commitments of the industry with a view to further enhance the safety of lifeboats. At this very early stage of the safety investigation, it is important to stress that any action shall reflect considerations on the outcome of the safety investigation currently undertaken by Malta. It is crucial that any action which may have a long term effect on the industry is based on the findings of safety investigations and other relevant accident data that may be drawn from academic research.

---

\*

Statements have been included in this annex in the order in which they were given, sorted by agenda items, and in the language of submission. Statements are available in all the official languages on audio file: <http://docs.imo.org/Meetings/Media.aspx>

### Statement by the delegation of Liberia

The Government of Liberia wishes to express its grave concern regarding the surge in piracy incidents and other violent acts against shipping and seafarers occurring in waters within the Gulf of Guinea.

These incidents are a very serious threat to the safe passage of all ships and their seafarers navigating through this region. During a recent 30-day period, four vessels were attacked, some hijacked and crew injured.

On 13 January 2013, the offshore support vessel **Armada Tuah 107** was attacked by one boat with six individuals on board. The attack took place approximately one hour after the vessel had cleared the Bonny Fairway buoy, en route to the Abo oil-field. Four of the six individuals, armed with knives and rifles boarded the **Armada Tuah 107**. The vessel sustained some damage from gun-shots and attempts to break into cabins. The pirates beat the Bosun when they could not gain access to the vessels interior cabins and engine room. The pirates stole valuables and personal belongings, before escaping.

On 7 February 2013, the multi-purpose offshore vessel **Armada Tugus 1** was attacked by two fast boats with 17 heavily armed individuals on board. The attack occurred approximately 40 nautical miles from Akassa Point. The vessel was hijacked and commandeered by the pirates and allegedly used as a mother vessel in attacks on a further three vessels, including an unknown oil tanker. The **Armada Tugus 1** was released by the pirates on 11 February 2013 after four days under their control. The pirates escaped with some valuables and personal belongings.

More recently there was a hijacking and kidnapping of seafarers and a ransom required to secure their safe release. The seafarers were later released; however the details as to the circumstances of the release are unclear.

There is a need for urgent proactive measures by the governments in the region and the international community to suppress these unlawful acts of piracy and protect innocent seafarers and others on board vessels. Immediate action must be taken to identify and prosecute those responsible before the attacks, kidnappings and harm cause to seafarers escalates further.

Liberia is prepared to work with Governments in the region to identify and implement possible solutions in close cooperation with the Secretary General.

## ITEM 17

### **Statement by the delegation of the Bolivarian Republic of Venezuela**

Muchas Gracias Sr Presidente y agradezco su venia al concedernos la palabra; Muy estimados y distinguidos Delegados, y camaradas todos; en mi papel como Representante Permanente de la República Bolivariana de Venezuela ante el seno de esta Organización, cumplo con el lamentable deber de participar al pleno que en horas de las tardes del día de ayer se participó debida y oficialmente a mi nación y a las restantes del mundo, la separación Física de este mundo terrenal de nuestro Comandante Presidente y Líder de la Revolución Bolivariana de Venezuela El Comandante en Jefe Hugo Rafael Chávez Frías, Decretándose Duelo Nacional; es importante para nosotros manifestar que este gran Hombre de infinitudes de virtudes y capacidades de Liderazgo puestas en manifiesta por su insuperable fuerza y compromiso con la que luchaba por sus ideas y sueños de independencia, la soberanía, la justicia y la solidaridad, los que nos hace afirmar hoy más que nunca que mi patria pierde no sólo a un presidente, sino a un patriota cabal, a un hombre de pensamiento y accionar transformador, que gobernó para su pueblo en búsqueda del cambio de desigualdad y exclusión; pasando así a la historia como un hombre que cambio nuestro destino y tal vez el del mundo al lado de su gente, buscando una verdadera democracia con justicia social, una democracia con la participación de todas y todos, un hombre que amó a su gente, a América Latina, que buscó la paz, el desarrollo y la integración de todos en la región latinoamericana y el mundo entero, todo esto en la búsqueda de este sueño dorado de igualdad y solidaridad que tanto clama la realidad actual en su vorágine misma.

Señores, hoy Venezuela está herida en sus entrañas y su sentir, y llora este hecho y es allí donde cobra valor una habitual frase del tema de un gran cantautor de nuestro país llamado Alí Primera: donde resalta que "Los que mueren por la vida, no pueden llamarse muertos...". Entonces diremos, que está muerto el HOMBRE, PERO NO EL IDEAL Y EL ESPÍRITU DE CHÁVEZ, mientras haya un Pueblo bueno, honesto y trabajador como el mío entre otros, porque siempre habrá esperanza. Si de algo valen ahora mis oraciones, será para desearle al ahora Eternamente Vivo al Compañero Presidente Hugo Chávez un buen viaje y su encuentro pronto con el Altísimo Timonel del Universo que todo lo juzga y en cuyas manos estamos..... Buen viento y buen mar,.... VIVA CHÁVEZ

Por Ultimo agradecemos las manifestaciones de solidaridad al respecto y no sé si tal vez, superándome mis atribuciones y el Protocolo de este digno pleno, solicitaría la Posibilidad de un minuto de Silencio en honor y en virtud de su Envestidura como mandatario.

---