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ANNEX 1

RESOLUTION MSC.402(96)
(adopted on 19 May 2016)

REQUIREMENTS FOR MAINTENANCE, THOROUGH EXAMINATION, OPERATIONAL TESTING, OVERHAUL AND REPAIR OF LIFEBOATS AND RESCUE BOATS, LAUNCHING APPLIANCES AND RELEASE GEAR

THE MARITIME SAFETY COMMITTEE,

RECALLING Article 28(b) of the Convention on the International Maritime Organization concerning the functions of the Committee,

RECALLING ALSO the Measures to prevent accidents with lifeboats (MSC.1/Circ.1206/Rev.1) and the Interim recommendation on conditions for authorization of service providers for lifeboats, launching appliances and on-load release gear (MSC.1/Circ.1277) approved by it,

RECOGNIZING the need to establish a uniform, safe and documented standard for maintenance, thorough examination, operational testing, overhaul and repair of lifeboats (including free-fall lifeboats) and rescue boats (including fast rescue boats), launching appliances and release gear,

NOTING that, by resolution MSC.404(96), it adopted amendments to regulations III/3 and III/20 of the International Convention for the Safety of Life at Sea, 1974 (“the Convention”), concerning maintenance, thorough examination, operational testing, overhaul and repair of lifeboats and rescue boats, launching appliances and release gear,

NOTING ALSO that the aforementioned regulation III/20 of the Convention provides that the maintenance, thorough examination, operational testing, overhaul and repair shall be carried out in accordance with the Requirements for maintenance, thorough examination, operational testing, overhaul and repair of lifeboats and rescue boats, launching appliances and release gear (“the Requirements”),

HAVING CONSIDERED, at its ninety-sixth session, the recommendation made by the Sub-Committee on Ship Systems and Equipment, at its third session,

1 ADOPTS the Requirements for maintenance, thorough examination, operational testing, overhaul and repair of lifeboats and rescue boats, launching appliances and release gear, the text of which is set out in the annex to the present resolution;

2 INVITES Contracting Governments to the Convention to note that the Requirements will take effect on 1 January 2020 upon entry into force of the associated amendments to regulations III/3 and III/20 of the Convention;

3 ALSO INVITES Contracting Governments to the Convention to take measures they consider appropriate to ensure that national manufacturers of equipment certified under chapter III of the Convention for installation and use on board ships undertake to ensure that equipment, instructions, specialized tools, spare parts, training and accessories, as required, are available to independent service providers in a timely and cost-effective manner;
4 REQUESTS the Secretary-General to transmit certified copies of this resolution and the text of the Requirements contained in the annex to all Contracting Governments to the Convention;

5 REQUESTS ALSO the Secretary-General to transmit copies of this resolution and the annex to all Members of the Organization which are not Contracting Governments to the Convention.
ANNEX

REQUIREMENTS FOR MAINTENANCE, THOROUGH EXAMINATION, OPERATIONAL TESTING, OVERHAUL AND REPAIR OF LIFEBOATS AND RESCUE BOATS, LAUNCHING APPLIANCES AND RELEASE GEAR

1 GENERAL

1.1 The objective of these Requirements for maintenance, thorough examination, operational testing, overhaul and repair of lifeboats and rescue boats, launching appliances and release gear (the Requirements) is to establish a uniform, safe and documented standard for maintenance, thorough examination, operational testing, overhaul and repair of the equipment specified in paragraph 2.1.

1.2 The detailed procedures covered by these Requirements are provided in section 6.

1.3 These Requirements relate to the following regulations:

1. SOLAS regulation III/20 – Operational readiness, maintenance and inspections; and

2. SOLAS regulation III/36 – Instructions for onboard maintenance.

1.4 The Company shall ensure that maintenance, thorough examination, operational testing, overhaul and repair on board its ships is conducted in accordance with these Requirements and SOLAS regulation III/20. The Company shall establish and implement health, safety and environment (HSE) procedures covering all activities set out in these Requirements.

1.5 The personnel carrying out maintenance, thorough examination, operational testing, overhaul and repair as described in paragraphs 4.2 and 4.3 shall be certified by an authorized service provider in accordance with the requirements specified in section 8. When performing such activities on board ships they shall comply with health, safety and environment (HSE) instructions and procedures established by the Company.

2 APPLICATION

2.1 These Requirements shall apply to the maintenance, thorough examination, operational testing, overhaul and repair of:

1. lifeboats (including free-fall lifeboats), rescue boats and fast rescue boats; and

2. launching appliances and on-load and off-load release gear for lifeboats (including primary and secondary means of launching appliances for free-fall lifeboats), rescue boats, fast rescue boats and davit-launched liferafts.

2.2 For the purpose of these Requirements:

1. Authorized service provider means an entity authorized by the Administration in accordance with section 3 and section 7.

1 For the purpose of these Requirements, Company is as defined in SOLAS regulation IX/1.2.
2 Equipment means the aforementioned equipment to which the Requirements apply.

3 Manufacturer means the original equipment manufacturer or any entity which has taken legal and legitimate responsibilities for equipment when the original equipment manufacturer no longer exists or supports the equipment.

4 Off-load release mechanism means a release mechanism which releases the survival craft/rescue boat/fast rescue boat when it is waterborne or when there is no load on the hooks.

5 On-load release mechanism means a release mechanism which releases the survival craft/rescue boat/fast rescue boat with load on the hooks.

6 Repair means any activities requiring disassembly of equipment, or any other activities outside the scope of the instructions for on-board maintenance and for emergency repair of life-saving appliances prepared in accordance with SOLAS regulations III/36.2 and III/35.3.18, respectively.

7 Overhaul means a periodical activity defined by the manufacturer that proves continued fitness for purpose for a defined period subject to correct maintenance.

3 AUTHORIZATION

3.1 Administrations shall ensure that the thorough examination, operational testing, repair and overhaul of equipment (see paragraphs 4.2 and 4.3) shall be carried out in accordance with SOLAS regulation III/20 by service providers authorized in accordance with section 7.

3.2 The requirements in section 7 shall equally apply to manufacturers when they are acting as authorized service providers.

4 QUALIFICATION LEVELS AND CERTIFICATION

4.1 Weekly and monthly inspections and routine maintenance as specified in the equipment maintenance manual(s), shall be conducted by authorized service providers, or by shipboard personnel under the direction of a senior ship’s officer in accordance with the maintenance manual(s).

4.2 Annual thorough examinations and operational tests, as described in section 6.2, shall be conducted by certified personnel of either the manufacturer or an authorized service provider in accordance with section 7 and section 8. The service provider may be the ship operator provided that it is authorized in accordance with section 3 and section 7.

4.3 Five-year thorough examination, any overhaul, overload operational tests\(^2\), as described in section 6.3, and repair shall be conducted by certified personnel of either the manufacturer or an authorized service provider in accordance with section 7 and section 8.

\(^2\) See SOLAS regulations III/20.11.1.2, III/20.11.2.2 and III/20.11.3.2.
5 REPORTS AND RECORDS

5.1 All reports and checklists shall be completed and signed by the person who carries out the inspection and maintenance work and countersigned by the Company's representative or the ship's master.

5.2 Records of maintenance, thorough examination, operational testing, overhaul and repair shall be updated and filed on board the ship for the service life of the equipment.

5.3 When thorough examination, operational testing, overhaul and repair are completed, a statement confirming that the lifeboat arrangements remain fit for purpose shall be promptly issued by the manufacturer or authorized service provider that conducted the work. A copy of valid documents of certification and authorization as appropriate shall be included with the statement.

6 SPECIFIC PROCEDURES FOR INSPECTION, MAINTENANCE, THOROUGH EXAMINATION, OPERATIONAL TESTING, OVERHAUL AND REPAIR

6.1 General/Maintenance

6.1.1 Any inspection, maintenance, thorough examination, operational testing, overhaul and repair shall be carried out according to the maintenance manuals and associated technical documentation developed by the manufacturer.

6.1.2 A full set of maintenance manuals and associated technical documentation as specified in paragraph 6.1.1 shall be available on board.

6.1.3 The maintenance manuals and associated technical documentation as specified in paragraph 6.1.1 shall include the items listed in sections 6.2 and 6.3 as a minimum and shall be kept up to date by the Company taking into account relevant information provided by the manufacturer.

6.2 Annual thorough examination and operational test

6.2.1 All items listed in checklists for the weekly/monthly inspections required by SOLAS regulations III/20.6 and III/20.7 also form the first part of the annual thorough examination.

6.2.2 Records of inspections and routine on-board maintenance carried out by the ship's crew and the applicable certificates for the equipment shall be reviewed.

6.2.3 For lifeboats (including free-fall lifeboats), rescue boats and fast rescue boats, the following items shall be thoroughly examined and checked for satisfactory condition and operation:

.1 condition of the boat structure including fixed and loose equipment (including a visual examination of the external boundaries of the void spaces, as far as practicable);

.2 engine and propulsion system;

.3 sprinkler system, where fitted;

.4 air supply system, where fitted;
6.2.4 For release gear of lifeboats (including free-fall lifeboats), rescue boats, fast rescue boats and liferafts, the following shall be thoroughly examined for satisfactory condition and operation after the annual operational test of the winch brake with the empty boat or equivalent load, as required by paragraph 6.2.10:

1. operation of devices for activation of release gear;
2. excessive free play (tolerances);
3. hydrostatic interlock system, where fitted;
4. cables for control and release; and
5. hook fastening.

Notes: 1 The setting and maintenance of release gear are critical operations with regard to maintaining the safe operation of lifeboats (including free-fall lifeboats), rescue boats, fast rescue boats and davit launched liferafts. Utmost care shall be taken when carrying out all inspection and maintenance operations on the equipment.

2 No maintenance or adjustment of the release gear shall be undertaken while the hooks are under load.

6.2.5 The operational test of davit-launched lifeboats' and rescue boats' on-load release function shall be carried out as follows:

1. position the boat partially in the water such that the mass of the boat is substantially supported by the falls and the hydrostatic interlock system, where fitted, is not triggered;
2. operate the on-load release gear;
3. reset the on-load release gear; and
4. examine the release gear and hook fastening to ensure that the hook is completely reset and no damage has occurred.

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3 Hanging-off pennants may be used for this purpose but should not remain connected at other times, such as when the lifeboat is normally stowed and during training exercises. The release gear is to be examined prior to its operational test. The release gear is to be re-examined after its operational test and the operational test of the winch brake. Special consideration shall be given to ensure that no damage has occurred during the winch brake test, especially to the hook fastening.
6.2.6  The operational test of davit-launched lifeboats' and rescue boats' off-load release function shall be carried out as follows:

.1  position the boat so that it is fully waterborne;
.2  operate the off-load release gear;
.3  reset the off-load release gear; and
.4  recover the boat to the stowed position and prepare for operational readiness.

During the test, prior to hoisting, it shall be checked that the release gear is completely and properly reset. The final turning-in of the boat shall be done without any persons on board.

6.2.7  The operational test of the free-fall lifeboat release function shall be carried out as follows:

.1  engage the arrangements for the test without launching the lifeboat, required by paragraph 4.7.6.4 of the LSA Code, as specified in the manufacturer's operating instructions;
.2  if required to be on board, ensure that the operator is properly seated and secured in the seat location from which the release mechanism is to be operated;
.3  operate the release mechanism to release the lifeboat;
.4  reset the lifeboat in the stowed configuration;
.5  repeat the procedures referred to in .2 to .4 above, using the back-up release mechanism, if applicable;
.6  remove the arrangements for the test without launching the lifeboat, required by paragraph 4.7.6.4 of the LSA Code; and
.7  verify that the lifeboat is in the ready to launch stowed configuration.

6.2.8  The operational test of the davit-launched liferaft automatic release function shall be carried out as follows:

.1  manually release the hook with a load of 150 kg on the hook;
.2  automatically release the hook with a dummy weight of 200 kg on the hook when it is lowered to the ground; and
.3  examine the release hook and hook fastening to ensure that the hook is completely reset and no damage has occurred.

If a raft is used for the test instead of a dummy weight, the automatic release function shall release the raft when waterborne.
6.2.9 For launching appliances for lifeboats (including free-fall lifeboats), rescue boats, fast rescue boats and liferafts, the following items shall be examined for satisfactory condition and operation:

.1 davit or other launching structures, in particular with regard to corrosion, misalignments, deformation and excessive free play;

.2 wires and sheaves, possible damage such as kinks and corrosion;

.3 lubrication of wires, sheaves and moving parts; and

.4 if applicable:

.1 functioning of limit switches;

.2 stored power systems;

.3 hydraulic systems; and

.5 for winches:

.1 inspecting the braking system in accordance with winch manual;

.2 replacing brake pads, when necessary;

.3 winch foundation; and

.4 if applicable:

.1 remote control system; and

.2 power supply system.

6.2.10 For winches of the launching appliances for lifeboats (including free-fall lifeboats), rescue boats, fast rescue boats and liferafts, annual operational testing shall be done by lowering the empty craft or boat or equivalent load. When the craft has reached its maximum lowering speed and before the craft enters the water, the brake shall be abruptly applied. Following these tests, the stressed structural parts shall be reinspected where the structure permits the reinspection.

6.3 Five-year thorough examination, overhaul and overload operational tests

6.3.1 The five-year operational test of the winches of the launching appliances shall be carried out with a proof load equal to 1.1 times the weight of the survival craft or rescue boat and its full complement of persons and equipment. When the proof load has reached its maximum lowering speed, the brake shall be abruptly applied.

6.3.2 Following these tests, the stressed structural parts shall be reinspected where the structure permits the reinspection.

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4 In loading the craft or boat for this test, precautions should be taken to ensure that the stability of the craft or boat is not adversely affected by free surface effects or the raising of the centre of gravity.
6.3.3 The operational tests and overhaul at five-year intervals of release gear for lifeboats (including free-fall lifeboats), rescue boats, fast rescue boats and liferafts shall include:

.1 dismantling of hook release units;
.2 examinations with regard to tolerances and design requirements;
.3 adjustment of release gear system after assembly;
.4 operational tests as per paragraphs 6.2.5, 6.2.6, 6.2.7 or 6.2.8 above, as applicable, but with a load equal to 1.1 times the weight of the survival craft or rescue boat and its full complement of persons and equipment; and
.5 examinations of vital parts with regard to defects and cracks.

6.3.4 Any other overhaul if required shall be carried out in accordance with paragraph 6.3.3.

7 REQUIREMENTS FOR AUTHORIZATION OF SERVICE PROVIDERS

7.1 Authorization as required by paragraph 3.1 shall include, as a minimum, demonstration of:

.1 employment and documentation of personnel certified in accordance with a recognized national, international or industry standard as applicable, or a manufacturer's established certification programme. In either case, the certification programme shall comply with section 8 for each make and type of equipment for which service is to be provided;
.2 availability of sufficient tools, and in particular any specialized tools specified in the manufacturer's instructions, including portable tools as needed for work to be carried out on board ship;
.3 access to appropriate parts and accessories as specified for maintenance and repair;
.4 availability of the manufacturer's instructions for repair work involving disassembly or adjustment of on-load release mechanisms and davit winches; and
.5 a documented and certified quality system, which covers at least the following:
   .1 code of conduct for personnel involved in the relevant activity;
   .2 maintenance and calibration of measuring tools and gauges;
   .3 training programmes for personnel;
   .4 supervision and verification to ensure compliance with operational procedures;
   .5 recording and reporting of information;

5 Non-destructive examination (NDE) techniques, such as dye penetrants (DPE), may be suitable.

https://edocs.imo.org/Final Documents/English/MSC 96-25-ADD.1 (E).docx
6. quality management of subsidiaries and agents;
7. job preparation; and
8. periodic review of work process procedures, complaints, corrective actions and issuance, maintenance and control of documents.

Note: A documented quality system complying with the most current version of the ISO 9000 series and including the above items would be considered acceptable.

7.2 Administrations shall ensure that information regarding authorized service providers is made available.

7.3 In cases where a manufacturer is no longer in business or no longer provides technical support, Administrations may authorize service providers for the equipment on the basis of prior authorization for the equipment and/or long-term experience and demonstrated expertise as an authorized service provider.

7.4 Issuance and maintenance of authorization document:

.1 upon successful initial audit of a service provider, an authorization document shall be issued by the Administration defining the scope of services provided (e.g. makes and types of equipment). The expiry date shall be clearly written on the document;

.2 the Administration shall ensure that work continues, e.g. by periodic audit, to be carried out in accordance with these Requirements, and shall withdraw the authorization of service providers who are not in compliance; and

.3 the Administration may accept or recognize service providers authorized by other Administrations or by their Recognized Organizations.

8 REQUIREMENTS FOR CERTIFICATION OF PERSONNEL

8.1 Personnel for the work specified in paragraphs 4.2 and 4.3 shall be certified by the manufacturer or authorized service provider for each make and type of the equipment to be worked on in accordance with the provisions in this section.

8.2 Education and training

8.2.1 Initial certification shall be issued only to personnel having completed education, training and competence assessment. Education shall address, as a minimum:

.1 relevant rules and regulations, including international conventions;

.2 design and construction of lifeboats (including free-fall lifeboats), rescue boats and fast rescue boats, including on-load release gear and launching appliances;

.3 causes of lifeboat and rescue boat accidents;

.4 education and practical training in the procedures specified in section 6 for which certification is sought;
detailed procedures for thorough examination, operational testing, repair and overhaul of lifeboat (including free-fall lifeboats), rescue boats and fast rescue boats, launching appliances and on-load release gear, as applicable;

procedures for issuing a report of service and statement of fitness for purpose based on paragraph 5.3; and

work, health and safety issues while conducting activities on board.

8.2.2 Training shall include practical technical training on thorough examination, operational testing, maintenance, repair and overhaul techniques using the equipment for which the personnel are to be certified. The technical training shall include disassembly, reassembly, correct operation and adjustment of the equipment. Classroom training shall be supplemented by field experience in the operations for which certification is sought, under the supervision of a certified person.

8.2.3 Prior to issuance of certification, a competency assessment shall be satisfactorily completed, using the equipment for which the personnel are to be certified.

8.3 Validity of certificates and renewal

8.3.1 Upon completion of training and competency assessment, a certificate shall be issued defining the level of qualification and the scope of the certification (i.e. makes and types of equipment and specifically state which activities in paragraphs 4.2 and 4.3 are covered by the certification). The expiry date shall clearly be written on the certificate and shall be three years from the date of issue. The validity of any certificate shall be suspended in the event of any shortfall in performance and only revalidated after a further competency assessment.

8.3.2 A competency assessment shall be conducted to renew the certification. In cases where refresher training is found necessary a further assessment shall be carried out after completion.
ANNEX 2

RESOLUTION MSC.403(96)
(adopted on 19 May 2016)

AMENDMENTS TO THE INTERNATIONAL CODE
FOR FIRE SAFETY SYSTEMS (FSS CODE)

THE MARITIME SAFETY COMMITTEE,

RECALLING Article 28(b) of the Convention on the International Maritime Organization concerning the functions of the Committee,

NOTING resolution MSC.98(73), by which it adopted the International Code for Fire Safety Systems ("the FSS Code"), which has become mandatory under chapter II-2 of the International Convention for the Safety of Life at Sea, 1974 ("the Convention"),

NOTING ALSO article VIII(b) and regulation II-2/3.22 of the Convention concerning the procedure for amending the FSS Code,

HAVING CONSIDERED, at its ninety-sixth session, amendments to the FSS Code proposed and circulated in accordance with article VIII(b)(i) of the Convention,

1 ADOPTS, in accordance with article VIII(b)(iv) of the Convention, amendments to the FSS Code the text of which is set out in the annex to the present resolution;

2 DETERMINES, in accordance with article VIII(b)(vi)(2)(bb) of the Convention, that the said amendments shall be deemed to have been accepted on 1 July 2019 unless, prior to that date, more than one third of the Contracting Governments to the Convention, or Contracting Governments the combined merchant fleets of which constitute not less than 50% of the gross tonnage of the world's merchant fleet, have notified the Secretary-General of their objections to the amendments;

3 INVITES Contracting Governments to the Convention to note that, in accordance with article VIII(b)(vii)(2) of the Convention, the amendments shall enter into force on 1 January 2020 upon their acceptance in accordance with paragraph 2 above;

4 REQUESTS the Secretary-General, for the purposes of article VIII(b)(v) of the Convention, to transmit certified copies of the present resolution and the text of the amendments contained in the annex to all Contracting Governments to the Convention;

5 REQUESTS ALSO the Secretary-General to transmit copies of this resolution and its annex to Members of the Organization, which are not Contracting Governments to the Convention.
ANNEX

AMENDMENTS TO THE INTERNATIONAL CODE
FOR FIRE SAFETY SYSTEMS (FSS CODE)

CHAPTER 8
AUTOMATIC SPRINKLER, FIRE DETECTION AND FIRE ALARM SYSTEMS

1 The text in existing paragraph 2.4.1 is replaced with the following:

"2.4.1 General

2.4.1.1 Any parts of the system which may be subjected to freezing temperatures in service shall be suitably protected against freezing.

2.4.1.2 Special attention shall be paid to the specification of water quality provided by the system manufacturer to prevent internal corrosion of sprinklers and clogging or blockage arising from products of corrosion or scale-forming minerals."

2 A new chapter 17 is added after existing chapter 16 as follows:

"CHAPTER 17
HELICOPTER FACILITY FOAM FIREFIGHTING APPLIANCES

1 Application

This chapter details the specifications for foam firefighting appliances for the protection of helidecks and helicopter landing areas as required by chapter II-2 of the Convention.

2 Definitions

2.1 D-value means the largest dimension of the helicopter used for assessment of the helideck when its rotors are turning. It establishes the required area of foam application.

2.2 Deck integrated foam nozzles are foam nozzles recessed into or edge mounted on the helideck.

2.3 Foam-making branch pipes are air-aspirating nozzles in tube shape for producing and discharging foam, usually in straight stream only.

2.4 Helicopter landing area is as defined in SOLAS regulation II-2/3.57.

2.5 Helideck is as defined in SOLAS II-2/3.26.

2.6 Hose reel foam station is a hose reel fitted with a foam-making branch pipe and non-collapsible hose, together with fixed foam proportioner and fixed foam concentrate tank, mounted on a common frame.

2.7 Monitor foam station is a foam monitor, either self-inducing or together with separate fixed foam proportioner, and fixed foam concentrate tank, mounted on a common frame.
2.8 *Obstacle free sector* is the take-off and approach sector which totally encompasses the safe landing area and extends over a sector of at least 210°, within which only specified obstacles are permitted.

2.9 *Limited obstacle sector* is a 150° sector outside the take-off and approach sector that extends outward from a helideck where objects of limited height are permitted.

3 Engineering specifications for helidecks and helicopter landing areas

3.1 The system shall be capable of manual release, and may be arranged for automatic release.

3.2 For helidecks the foam system shall contain at least two fixed foam monitors or deck integrated foam nozzles. In addition, at least two hose reels fitted with a foam-making branch pipe and non-collapsible hose sufficient to reach any part of the helideck shall be provided. The minimum foam system discharge rate shall be determined by multiplying the D-value area by 6 l/min/m². The minimum foam system discharge rate for deck integrated foam nozzle systems shall be determined by multiplying the overall helideck area by 6 l/min/m². Each monitor shall be capable of supplying at least 50% of the minimum foam system discharge rate, but not less than 500 l/min. The minimum discharge rate of each hose reel shall be at least 400 l/min. The quantity of foam concentrate shall be adequate to allow operation of all connected discharge devices for at least 5 min.

3.3 Where foam monitors are installed, the distance from the monitor to the farthest extremity of the protected area shall be not more than 75% of the monitor throw in still air conditions.

3.4 For helicopter landing areas, at least two portable foam applicators or two hose reel foam stations shall be provided, each capable of discharging a minimum foam solution discharge rate, in accordance with the following table.

<table>
<thead>
<tr>
<th>Category</th>
<th>Helicopter overall length (D-value)</th>
<th>Minimum foam solution discharge rate (l/min)</th>
</tr>
</thead>
<tbody>
<tr>
<td>H1</td>
<td>up to but not including 15 m</td>
<td>250</td>
</tr>
<tr>
<td>H2</td>
<td>from 15 m up to but not including 24 m</td>
<td>500</td>
</tr>
<tr>
<td>H3</td>
<td>from 24 m up to but not including 35 m</td>
<td>800</td>
</tr>
</tbody>
</table>

The quantity of foam concentrate shall be adequate to allow operation of all connected discharge devices for at least 10 min. For tankers fitted with a deck foam system, the Administration may consider an alternative arrangement, taking into account the type of foam concentrate to be used.

3.5 Manual release stations capable of starting necessary pumps and opening required valves, including the fire main system, if used for water supply, shall be located at each monitor and hose reel. In addition, a central manual release station shall be provided at a protected location. The foam system shall be designed to discharge foam with nominal flow and at design pressure from any connected discharge devices within 30 s of activation.

3.6 Activation of any manual release station shall initiate the flow of foam solution to all connected hose reels, monitors, and deck integrated foam nozzles.
3.7 The system and its components shall be designed to withstand ambient temperature changes, vibration, humidity, shock impact and corrosion normally encountered on the open deck, and shall be manufactured and tested to the satisfaction of the Administration.

3.8 A minimum nozzle throw of at least 15 m shall be provided with all hose reels and monitors discharging foam simultaneously. The discharge pressure, flow rate and discharge pattern of deck integrated foam nozzles shall be to the satisfaction of the Administration, based on tests that demonstrate the nozzle’s capability to extinguish fires involving the largest size helicopter for which the helideck is designed.

3.9 Monitors, foam-making branch pipes, deck integrated foam nozzles and couplings shall be constructed of brass, bronze or stainless steel. Piping, fittings and related components, except gaskets, shall be designed to withstand exposure to temperatures up to 925ºC.

3.10 The foam concentrate shall be demonstrated effective for extinguishing aviation fuel spill fires and shall conform to performance standards not inferior to those acceptable to the Organization. Where the foam storage tank is on the exposed deck, freeze protected foam concentrates shall be used, if appropriate, for the area of operation.

3.11 Any foam system equipment installed within the take-off and approach obstacle-free sector shall not exceed a height of 0.25 m. Any foam system equipment installed in the limited obstacle sector shall not exceed the height permitted for objects in this area.

3.12 All manual release stations, monitor foam stations, hose reel foam stations, hose reels and monitors shall be provided with a means of access that does not require travel across the helideck or helicopter landing area.

3.13 Oscillating monitors, if used, shall be pre-set to discharge foam in a spray pattern and have a means of disengaging the oscillating mechanism to allow rapid conversion to manual operation.

3.14 If a foam monitor with flow rate up to 1,000 l/min is installed, it shall be equipped with an air-aspirating nozzle. If a deck integrated nozzle system is installed, then the additionally installed hose reel shall be equipped with an air-aspirating handline nozzle (foam branch pipes). Use of non-air-aspirating foam nozzles (on both monitors and the additional hose reel) is permitted only where foam monitors with a flow rate above 1,000 l/min are installed. If only portable foam applicators or hose reel stations are provided, these shall be equipped with an air-aspirating handline nozzle (foam branch pipes).

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* Refer to the International Civil Aviation Organization Airport Services Manual, part 1, Rescue and Fire Fighting, chapter 8, Extinguishing Agent Characteristics, paragraph 8.1.5, Foam specifications table 8-1, Performance Level B, or to the Revised Guidelines for the performance and testing criteria, and surveys of foam concentrates for fixed fire-extinguishing systems (MSC.1/Circ.1312)."

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ANNEX 3

RESOLUTION MSC.404(96)
(adopted on 19 May 2016)

AMENDMENTS TO THE INTERNATIONAL CONVENTION
FOR THE SAFETY OF LIFE AT SEA, 1974, AS AMENDED

THE MARITIME SAFETY COMMITTEE,

RECALLING Article 28(b) of the Convention on the International Maritime Organization concerning the functions of the Committee,

RECALLING ALSO article VIII(b) of the International Convention for the Safety of Life at Sea, 1974 ("the Convention"), concerning the amendment procedure applicable to the annex to the Convention, other than to the provisions of chapter I,

HAVING CONSIDERED, at its ninety-sixth session, amendments to the Convention proposed and circulated in accordance with article VIII(b)(i) of the Convention,

1 ADOPTS, in accordance with article VIII(b)(iv) of the Convention, amendments to the Convention the text of which is set out in the annex to the present resolution;

2 DETERMINES, in accordance with article VIII(b)(vi)(2)(bb) of the Convention, that the said amendments shall be deemed to have been accepted on 1 July 2019, unless, prior to that date, more than one third of the Contracting Governments to the Convention, or Contracting Governments the combined merchant fleets of which constitute not less than 50% of the gross tonnage of the world's merchant fleet, have notified the Secretary-General of their objections to the amendments;

3 INVITES Contracting Governments to the Convention to note that, in accordance with article VIII(b)(vii)(2) of the Convention, the amendments shall enter into force on 1 January 2020 upon their acceptance in accordance with paragraph 2 above;

4 REQUESTS the Secretary-General, for the purposes of article VIII(b)(v) of the Convention, to transmit certified copies of the present resolution and the text of the amendments contained in the annex to all Contracting Governments to the Convention;

5 REQUESTS ALSO the Secretary-General to transmit copies of this resolution and its annex to Members of the Organization, which are not Contracting Governments to the Convention.
ANNEX

AMENDMENTS TO THE INTERNATIONAL CONVENTION FOR
THE SAFETY OF LIFE AT SEA, 1974, AS AMENDED

CHAPTER II-2
CONSTRUCTION – FIRE PROTECTION, FIRE DETECTION
AND FIRE EXTINCTION

PART A
GENERAL

Regulation 3 – Definitions

1 The following new paragraphs are added after the existing paragraph 56:

“57 Helicopter landing area is an area on a ship designated for occasional or emergency landing of helicopters but not designed for routine helicopter operations.

58 Winching area is a pick-up area provided for the transfer by helicopter of personnel or stores to or from the ship, while the helicopter hovers above the deck.

PART D
ESCAPE

Regulation 13 – Means of escape

1 The footnote to the title of paragraph 3.2 is deleted.

2 The following new paragraphs are added after the existing paragraph 3.2.6.2:

“3.2.7 Evacuation analysis for passenger ships”

3.2.7.1 Escape routes shall be evaluated by an evacuation analysis early in the design process. This analysis shall apply to:

.1 ro-ro passenger ships constructed on or after 1 July 1999; and

.2 other passenger ships constructed on or after 1 January 2020 carrying more than 36 passengers.

3.2.7.2 The analysis shall be used to identify and eliminate, as far as practicable, congestion which may develop during an abandonment, due to normal movement of passengers and crew along escape routes, including the possibility that crew may need to move along these routes in a direction opposite to the movement of passengers. In addition, the analysis shall be used to demonstrate that escape arrangements are sufficiently flexible to provide for the possibility that certain escape routes, assembly stations, embarkation stations or survival craft may not be available as a result of a casualty.

* Refer to the Revised Guidelines on evacuation analyses for new and existing passenger ships (MSC.1/Circ.1533), as may be amended."

3 Paragraph 7.4 is deleted.
PART G
SPECIAL REQUIREMENTS

Regulation 18 – Helicopter facilities

4 A new paragraph 2.3 is added after the existing paragraph 2.2, as follows:

"2.3 Notwithstanding the requirements of paragraph 2.2 above, ships constructed on or after 1 January 2020, having a helicopter landing area, shall be provided with foam firefighting appliances which comply with the relevant provisions of chapter 17 of the Fire Safety Systems Code."

and the subsequent paragraphs are renumbered accordingly.

5 The renumbered paragraph 2.4 is replaced with the following text:

"2.4 Notwithstanding the requirements of paragraph 2.2 or 2.3 above, ro-ro passenger ships without helidecks shall comply with regulation III/28."

6 A new paragraph 5.1.6 is added after the existing paragraph 5.1.5 as follows:

"5.1.6 in lieu of the requirements of paragraphs 5.1.3 through 5.1.5, on ships constructed on or after 1 January 2020 having a helideck, foam firefighting appliances which comply with the provisions of the Fire Safety Systems Code."

and the remaining paragraphs are renumbered accordingly.

CHAPTER III
LIFE-SAVING APPLIANCES AND ARRANGEMENTS

PART A
GENERAL

Regulation 3 – Definitions

7 The following new paragraph 25 is added after the existing paragraph 24:

"25 Requirements for maintenance, thorough examination, operational testing, overhaul and repair means the Requirements for maintenance, thorough examination, operational testing, overhaul and repair of lifeboats and rescue boats, launching appliances and release gear, adopted by the Maritime Safety Committee of the Organization by resolution MSC.402(96), as may be amended by the Organization, provided that such amendments are adopted, brought into force and take effect in accordance with the provisions of article VIII of the present Convention concerning the amendment procedures applicable to the annex other than chapter I."
PART B

REQUIREMENTS FOR SHIPS AND LIFE-SAVING APPLIANCES

Regulation 20 – Operational readiness, maintenance and inspections

8  The existing paragraph 3.1 is replaced with the following text:

“3.1  Maintenance, testing and inspections of life-saving appliances shall be carried out in a manner having due regard to ensuring reliability of such appliances.”

9  The existing paragraph 11 is replaced with the following text:

“11  Maintenance, thorough examination, operational testing, overhaul and repair of lifeboats, rescue boats and fast rescue boats, launching appliances and release gear

11.1  Launching appliances shall be:

.1  subject to a thorough examination at the annual surveys required by regulations I/7 or I/8, as applicable; and

.2  upon completion of the examination referred to in paragraph 11.1.1, subjected to a dynamic test of the winch brake at maximum lowering speed. The load to be applied shall be the mass of the survival craft or rescue boat without persons on board, except that, at intervals of at least once every five years, the test shall be carried out with a proof load equal to 1.1 times the weight of the survival craft or rescue boat and its full complement of persons and equipment.

11.2  Lifeboat and rescue boat release gear, including fast rescue boat release gear and free-fall lifeboat release systems, shall be:

.1  subject to a thorough examination and operational test during the annual surveys required by regulations I/7 and I/8;

.2  in case of on-load release gear, operationally tested under a load of 1.1 times the total mass of the boat when loaded with its full complement of persons and equipment whenever the release gear is overhauled. Such overhauling and operational test shall be carried out at least once every five years; and

.3  notwithstanding paragraph 11.2.2, the operational testing of free-fall lifeboat release systems shall be performed either by free fall launch with only the operating crew on board or by a test without launching the lifeboat carried out based on Requirements for maintenance, thorough examination, operational testing, overhaul and repair.

*  Refer to Recommendation on testing of life-saving appliances (resolution A.689(17)), as amended.
  For life-saving appliances installed on board on or after 1 July 1999, refer to Revised Recommendations on testing of life-saving appliances (resolution MSC.81(70)), as amended.
11.3 Davit-launched liferaft automatic release hooks shall be:

.1 subject to a thorough examination and operational test during the annual surveys required by regulations I/7 and I/8; and

.2 operationally tested under a load of 1.1 times the total mass of the liferaft when loaded with its full complement of persons and equipment whenever the automatic release hook is overhauled. Such overhauling and operational test shall be carried out at least once every five years.

11.4 Lifeboats and rescue boats, including fast rescue boats, shall be subject to a thorough examination and operational test during the annual surveys required by regulations I/7 and I/8.

11.5 The thorough examination, operational testing and overhaul required by paragraphs 11.1 to 11.4 and the maintenance and repair of equipment specified in paragraphs 11.1 to 11.4 shall be carried out in accordance with the Requirements for maintenance, thorough examination, operational testing, overhaul and repair, and the instructions for onboard maintenance as required by regulation 36.

* Refer to Recommendation on testing of life-saving appliances (resolution A.689(17)), as amended. For life-saving appliances installed on board on or after 1 July 1999, refer to Revised Recommendations on testing of life-saving appliances (resolution MSC.81(70)), as amended.

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ANNEX 4

RESOLUTION MSC.405(96)
(adopted on 19 May 2016)

AMENDMENTS TO THE INTERNATIONAL CODE ON THE ENHANCED PROGRAMME OF INSPECTIONS DURING SURVEYS OF BULK CARRIERS AND OIL TANKERS, 2011 (2011 ESP CODE)

THE MARITIME SAFETY COMMITTEE,

RECALLING Article 28(b) of the Convention on the International Maritime Organization concerning the functions of the Committee,

NOTING resolution A.1049(27), by which the Assembly adopted the International Code on the Enhanced Programme of Inspections during Surveys of Bulk Carriers and Oil Tankers, 2011 (“the 2011 ESP Code”), which has become mandatory under chapter XI-1 of the International Convention for the Safety of Life at Sea, 1974 (“the Convention”),

NOTING ALSO article VIII(b) and regulation XI-1/2 of the Convention concerning the procedure for amending the 2011 ESP Code,

HAVING CONSIDERED, at its ninety-sixth session, amendments to the 2011 ESP Code proposed and circulated in accordance with article VIII(b)(i) of the Convention,

1 ADOPTS, in accordance with article VIII(b)(iv) of the Convention, amendments to the 2011 ESP Code the text of which is set out in the annex to the present resolution;

2 DETERMINES, in accordance with article VIII(b)(vi)(2)(bb) of the Convention, that the said amendments shall be deemed to have been accepted on 1 July 2017 unless, prior to that date, more than one third of the Contracting Governments to the Convention, or Contracting Governments the combined merchant fleets of which constitute not less than 50% of the gross tonnage of the world’s merchant fleet, have notified the Secretary-General of their objections to the amendments;

3 INVITES Contracting Governments to the Convention to note that, in accordance with article VIII(b)(vii)(2) of the Convention, the amendments shall enter into force on 1 January 2018 upon their acceptance in accordance with paragraph 2 above;

4 REQUESTS the Secretary-General, for the purposes of article VIII(b)(v) of the Convention, to transmit certified copies of the present resolution and the text of the amendments contained in the annex to all Contracting Governments to the Convention;

5 REQUESTS ALSO the Secretary-General to transmit copies of this resolution and its annex to Members of the Organization, which are not Contracting Governments to the Convention.
ANNEX

AMENDMENTS TO THE INTERNATIONAL CODE ON THE ENHANCED PROGRAMME OF INSPECTIONS DURING SURVEYS OF BULK CARRIERS AND OIL TANKERS, 2011 (2011 ESP CODE)

ANNEX A

CODE ON THE ENHANCED PROGRAMME OF INSPECTIONS DURING SURVEYS OF BULK CARRIERS

Part A

CODE ON THE ENHANCED PROGRAMME OF INSPECTIONS DURING SURVEYS OF BULK CARRIERS HAVING SINGLE-SIDE SKIN CONSTRUCTION

1  In paragraph 4.2.1.3, the words "hard protective" are inserted after the words "When such breakdown of".

2  Paragraph 5.2.2 is replaced with the following text:

  "5.2.2  In order to enable the attending surveyors to carry out the survey, provisions for proper and safe access should be agreed between the owner and the Administration, based on recommendations developed by the Organization."

3  Refer to the Revised recommendations for entering enclosed spaces aboard ships, adopted by the Organization by resolution A.1050(27)."

4  Paragraph 5.2.9 is replaced with the following text:

  "5.2.9  The surveyor(s) should always be accompanied by at least one responsible person, assigned by the owner, experienced in tank and enclosed space inspection."

5  Paragraph 5.2.10 is deleted.
Part B

CODE ON THE ENHANCED PROGRAMME OF INSPECTIONS DURING SURVEYS OF BULK CARRIERS HAVING DOUBLE-SIDE SKIN CONSTRUCTION

5 Paragraph 5.2.2 is replaced with the following text:

"5.2.2 In order to enable the attending surveyors to carry out the survey, provisions for proper and safe access should be agreed between the owner and the Administration, based on recommendations developed by the Organization."

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7 Refer to the Revised recommendations for entering enclosed spaces aboard ships, adopted by the Organization by resolution A.1050(27).

6 Paragraph 5.2.9 is replaced with the following text:

"5.2.9 The surveyor(s) should always be accompanied by, at least, one responsible person, assigned by the owner, experienced in tank and enclosed space inspection."

7 Paragraph 5.2.10 is deleted.

ANNEX B

CODE ON THE ENHANCED PROGRAMME OF INSPECTIONS DURING SURVEYS OF OIL TANKERS

Part A

CODE ON THE ENHANCED PROGRAMME OF INSPECTIONS DURING SURVEYS OF DOUBLE-HULL OIL TANKERS

8 Paragraph 5.2.1.1 is replaced with the following text:

"5.2.1.1 In order to enable the attending surveyors to carry out the survey, provisions for proper and safe access should be agreed between the owner and the Administration, based on recommendations developed by the Organization."

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11 Refer to the Revised recommendations for entering enclosed spaces aboard ships, adopted by the Organization by resolution A.1050(27)."
Paragraph 5.2.6 is replaced with the following text:

"5.2.6 The surveyor(s) should always be accompanied by at least one responsible person, assigned by the owner, experienced in tank and enclosed space inspection."

Paragraph 5.2.7 is deleted.

**Part B**

**CODE ON THE ENHANCED PROGRAMME OF INSPECTIONS DURING SURVEYS OF OIL TANKERS OTHER THAN DOUBLE-HULL OIL TANKERS**

Paragraph 5.2.1.1 is replaced with the following text:

"5.2.1.1 In order to enable the attending surveyors to carry out the survey, provisions for proper and safe access should be agreed between the owner and the Administration, based on recommendations developed by the Organization.\textsuperscript{15}

\textsuperscript{15} Refer to the Revised recommendations for entering enclosed spaces aboard ships, adopted by the Organization by resolution A.1050(27)."

Paragraph 5.2.6 is replaced with the following text:

"5.2.6 The surveyor(s) should always be accompanied by at least one responsible person, assigned by the owner, experienced in tank and enclosed space inspection."

Paragraph 5.2.7 is deleted.

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ANNEX 6

DRAFT RESOLUTION MSC.[…(97)]
(adopted on […November 2016])

AMENDMENTS TO THE INTRODUCTION OF THE INTERNATIONAL CODE ON INTACT STABILITY, 2008 (2008 IS CODE)

THE MARITIME SAFETY COMMITTEE,

RECALLING Article 28(b) of the Convention on the International Maritime Organization concerning the functions of the Committee,

RECALLING ALSO resolution MSC.267(85) by which it adopted the International Code on Intact Stability, 2008 ("2008 IS Code"),

NOTING the provisions regarding the procedure for amendments to the introduction and Part A of the 2008 IS Code, stipulated in regulation II-1/2.27.1 of the International Convention for the Safety of Life at Sea, 1974 ("the Convention"), as amended by resolution MSC.269(85),

RECOGNIZING the need to include provisions regarding ships engaged in anchor handling, towing, escort and lifting operations in the 2008 IS Code,

HAVING CONSIDERED, at its [ninety-seventh] session, the amendments to the introduction of the 2008 IS Code, proposed and circulated in accordance with article VIII(b)(i) of the Convention,

1 ADOPTS, in accordance with article VIII(b)(iv) of the Convention, amendments to the introduction of the 2008 IS Code, the text of which is set out in the annex to the present resolution;

2 DETERMINES, in accordance with article VIII(b)(vi)(2)(bb) of the Convention, that the said amendments shall be deemed to have been accepted on [1 July 2019], unless, prior to that date, more than one third of the Contracting Governments to the Convention, or Contracting Governments the combined merchant fleets of which constitute not less than 50% of the gross tonnage of the world’s merchant fleet, have notified the Secretary-General of the Organization of their objections to the amendments;

3 INVITES Contracting Governments to the Convention to note that, in accordance with article VIII(b)(vii)(2) of the Convention, the amendments shall enter into force on [1 January 2020] upon their acceptance in accordance with paragraph 2 above;

4 REQUESTS the Secretary-General of the Organization, for the purposes of article VIII(b)(v) of the Convention, to transmit certified copies of the present resolution and the text of the amendments contained in the annex to all Contracting Governments to the Convention;

5 REQUESTS ALSO the Secretary-General of the Organization to transmit copies of this resolution and its annex to Members of the Organization, which are not Contracting Governments to the Convention.
ANNEX

AMENDMENTS TO THE INTRODUCTION OF THE INTERNATIONAL CODE ON INTACT STABILITY, 2008 (2008 IS CODE)

1 Purpose

1 The chapeau of paragraph 1.2 is amended to read as follows:

"1.2 Unless otherwise stated, this Code contains intact stability criteria for the following types of applicable to ships and other marine vehicles of 24 m in length and above, as listed below, unless otherwise stated. The Code also provides intact stability criteria applicable to the same ships and marine vehicles when engaged in certain operations."

2 In paragraph 1.2, the following new subparagraphs .7 to .9 are inserted after the existing subparagraph .6:

".7 ships engaged in anchor handling operations;

.8 ships engaged in harbour, coastal or ocean-going towing operations and escort operations;

.9 ships engaged in lifting operations;"

and the remaining subparagraphs are renumbered accordingly.

2 Definitions

3 The following new paragraphs 2.27 to 2.31 are inserted after the existing paragraph 2.26:

"2.27 Ship engaged in anchor handling operations means a ship engaged in operations with deployment, recovering and repositioning of anchors and the associated mooring lines of rigs or other vessels. Forces associated with anchor handling are generally associated with the winch line pull and may include vertical, transverse, and longitudinal forces applied at the towing point and over the stern roller.

2.28 Ship engaged in harbour towing means a ship engaged in an operation intended for assisting ships or other floating structures within sheltered waters, normally while entering or leaving port and during berthing or unberthing operations.

2.29 Ship engaged in coastal or ocean-going towing means a ship engaged in an operation intended for assisting ships or other floating structures outside sheltered waters in which the forces associated with towing are often a function of the ship's bollard pull.

2.30 Ship engaged in lifting operation means a ship engaged in an operation involving the raising or lowering of objects using vertical force by means of winches, cranes, a-frames or other lifting devices."

* Refer to the Guidelines for safe ocean towing (MSC/Circ.884).

** Fishing vessels should not be included in the definition of lifting operations. Reference is made to paragraphs 2.1.2.2 and 2.1.2.8 of chapter 2 of part B. For anchor handling operations reference is made to section 2.7 of chapter 2 of part B.
2.31 Ship engaged in escort operation means a ship specifically engaged in steering, braking and otherwise controlling of the assisted ship during ordinary or emergency manoeuvring, whereby the steering and braking forces are generated by the hydrodynamic forces acting on the hull and appendages and the thrust forces exerted by the propulsion units (see also figure 1)."

PART A
MANDATORY CRITERIA

4 The following footnote is added to the existing title of chapter 2:

"Paragraphs 3.4.1.8, 3.4.1.9, 3.6.4 and 3.6.5 in part B should only be considered as recommendations."
ANNEX 7

DRAFT RESOLUTION MSC.[…(97)]
(adopted on […November 2016])

AMENDMENTS TO THE INTRODUCTION OF THE INTERNATIONAL
CODE ON INTACT STABILITY, 2008 (2008 IS CODE)

THE MARITIME SAFETY COMMITTEE,

RECALLING Article 28(b) of the Convention on the International Maritime Organization concerning the functions of the Committee,

RECALLING ALSO resolution MSC.267(85) by which it adopted the International Code on Intact Stability, 2008 (“2008 IS Code”),


RECOGNIZING the need to include provisions regarding ships engaged in anchor handling, towing, escort and lifting operations in the 2008 IS Code,

HAVING CONSIDERED, at its [ninety-seventh] session, amendments to the introduction of the 2008 IS Code, proposed and circulated in accordance with paragraph 2(a) of article VI of the 1988 Load Lines Protocol,

1 ADOPTS, in accordance with paragraph 2(d) of article VI of the 1988 Load Lines Protocol, amendments to the introduction of the 2008 IS Code, the text of which is set out in the annex to the present resolution;

2 DETERMINES, in accordance with paragraph 2(f)(ii)(bb) of article VI of the 1988 Load Lines Protocol, that the said amendments shall be deemed to have been accepted on [1 July 2019], unless, prior to that date, more than one third of the Parties to the 1988 Load Lines Protocol, or Parties the combined merchant fleets of which constitute not less than 50% of all the merchant fleets of all Parties, have notified the Secretary-General of the Organization of their objections to the amendments;

3 INVITES Parties to the 1988 Load Lines Protocol to note that, in accordance with paragraph 2(g)(ii) of article VI of the 1988 Load Lines Protocol, the amendments shall enter into force on [1 January 2020] upon their acceptance in accordance with paragraph 2 above;

4 REQUESTS the Secretary-General of the Organization, for the purposes of paragraph 2(e) of article VI of the 1988 Load Lines Protocol, to transmit certified copies of the present resolution and the text of the amendments contained in the annex to all Parties to the 1988 Load Lines Protocol;

5 REQUESTS ALSO the Secretary-General of the Organization to transmit copies of this resolution and its annex to Members of the Organization, which are not Parties to the 1988 Load Lines Protocol.
ANNEX

AMENDMENTS TO THE INTRODUCTION OF THE INTERNATIONAL CODE ON INTACT STABILITY, 2008 (2008 IS CODE)

1 Purpose

The chapeau of paragraph 1.2 is amended to read as follows:

"1.2 Unless otherwise stated, this Code contains intact stability criteria for the following types of applicable to ships and other marine vehicles of 24 m in length and above, as listed below, unless otherwise stated. The Code also provides intact stability criteria applicable to the same ships and marine vehicles when engaged in certain operations:"

2 In paragraph 1.2, the following new subparagraphs .7 to .9 are inserted after the existing subparagraph .6:

".7 ships engaged in anchor handling operations;

.8 ships engaged in harbour, coastal or ocean-going towing operations and escort operations;

.9 ships engaged in lifting operations;"

and the remaining subparagraphs are renumbered accordingly.

2 Definitions

The following new paragraphs 2.27 to 2.31 are inserted after the existing paragraph 2.26:

"2.27 Ship engaged in anchor handling operations means a ship engaged in operations with deployment, recovering and repositioning of anchors and the associated mooring lines of rigs or other vessels. Forces associated with anchor handling are generally associated with the winch line pull and may include vertical, transverse, and longitudinal forces applied at the towing point and over the stern roller.

2.28 Ship engaged in harbour towing means a ship engaged in an operation intended for assisting ships or other floating structures within sheltered waters, normally while entering or leaving port and during berthing or unberthing operations.

2.29 Ship engaged in coastal or ocean-going towing means a ship engaged in an operation intended for assisting ships or other floating structures outside sheltered waters in which the forces associated with towing are often a function of the ship's bollard pull.

2.30 Ship engaged in lifting operation means a ship engaged in an operation involving the raising or lowering of objects using vertical force by means of winches, cranes, a-frames or other lifting devices."

* Refer to the Guidelines for safe ocean towing (MSC/Circ.884).
** Fishing vessels should not be included in the definition of lifting operations. Reference is made to paragraphs 2.1.2.2 and 2.1.2.8 of chapter 2 of part B. For anchor handling operations reference is made to section 2.7 of chapter 2 of part B.
2.31 *Ship engaged in escort operation* means a ship specifically engaged in steering, braking and otherwise controlling of the assisted ship during ordinary or emergency manoeuvring, whereby the steering and braking forces are generated by the hydrodynamic forces acting on the hull and appendages and the thrust forces exerted by the propulsion units (see also figure 1)."

PART A
MANDATORY CRITERIA

4 The following footnote is added to the existing title of chapter 2:

"Paragraphs 3.4.1.8, 3.4.1.9, 3.6.4 and 3.6.5 in part B should only be considered as recommendations."

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ANNEX 8

DRAFT MSC RESOLUTION

AMENDMENTS TO THE INTERNATIONAL CONVENTION ON STANDARDS OF TRAINING, CERTIFICATION AND WATCHKEEPING FOR SEAFARERS (STCW), 1978, AS AMENDED

THE MARITIME SAFETY COMMITTEE,

RECALLING Article 28(b) of the Convention on the International Maritime Organization concerning the functions of the Committee,

RECALLING ALSO article XII of the International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978 ("the Convention"), concerning the procedures for amending the Convention,

RECALLING FURTHER that the Committee, by resolution MSC.386(94), adopted, inter alia, the new chapter XIV of the International Convention for the Safety of Life at Sea (SOLAS), 1974, as amended,

ALSO RECALLING that the Committee, by resolution MSC.385(94), adopted the International Code for Ships Operating in Polar Waters (Polar Code) which will take effect on 1 January 2017 upon entry into force of the new chapter XIV of the SOLAS Convention,

NOTING that there will be a transitional period between the entry into force of the Polar Code and the amendments to the STCW Convention,

ALSO RECALLING that the Committee, at its ninety-sixth session, decided to provide the Member States with a single resolution of amendments to the Convention, including those related to the Polar Code and to passenger ship-specific training and certification,

HAVING CONSIDERED, at its [ninety-seventh] session, amendments to the Convention proposed and circulated in accordance with article XII(1)(a)(i) thereof,

1 ADOPTS, in accordance with article XII(1)(a)(iv) of the Convention, amendments to the Convention, the text of which is set out in the annex to the present resolution;

2 DETERMINES, in accordance with article XII(1)(a)(vii)(2) of the Convention, that the said amendments shall be deemed to have been accepted on [1 January 2018], unless, prior to that date, more than one third of Parties, or Parties the combined merchant fleets of which constitute not less than 50% of the gross tonnage of the world’s merchant shipping of ships of 100 gross register tonnes or more, have notified to the Secretary-General of the Organization their objections to the amendments;

3 INVITES Parties to note that, in accordance with article XII(1)(a)(ix) of the Convention, that the amendments annexed hereto, shall enter into force on [1 July 2018] upon their acceptance in accordance with paragraph 2 above;

4 URGES Parties to implement the amendments to regulation I/1.1, regulation I/11 and regulation V/4 at an early stage;
5 INVITES Parties to recognize seafarers’ certificates issued by a Party at an early stage in accordance with paragraph 4 above and prior to the entry into force of amendments to regulation V/4;

6 REQUESTS the Secretary-General, for the purposes of article XII(1)(a)(v) of the Convention to transmit certified copies of the present resolution and the text of the amendments contained in the annex to all Parties to the Convention;

7 REQUESTS ALSO the Secretary-General to transmit copies of this resolution and its annex to Members of the Organization, which are not Parties to the Convention.
ANNEX

AMENDMENTS TO THE INTERNATIONAL CONVENTION ON STANDARDS OF TRAINING, CERTIFICATION AND WATCHKEEPING FOR SEAFARERS (STCW), 1978, AS AMENDED¹

CHAPTER I

General provisions

1 In regulation I/1.1, the following new definitions are added:

".42 Polar Code means the International Code for Ships Operating in Polar Waters, as defined in SOLAS regulation XIV/1.1.

.43 Polar waters means Arctic waters and/or the Antarctic area, as defined in SOLAS regulations XIV/1.2 to XIV/1.4."

2 In regulation I/11, after the existing paragraph 3, the following new paragraph is inserted and the subsequent paragraphs are renumbered accordingly:

"4 Every master or officer shall, for continuing seagoing service on board ships operating in polar waters, meet the requirements of paragraph 1 of this regulation and be required, at intervals not exceeding five years, to establish continued professional competence for ships operating in polar waters in accordance with section A-I/11, paragraph 4 of the STCW Code."

CHAPTER V

Special training requirements for personnel on certain types of ships

3 In chapter V, the existing regulation V/2 is replaced by the following:

"Regulation V/2

Mandatory minimum requirements for the training and qualifications of masters, officers, ratings and other personnel on passenger ships

1 This regulation applies to masters, officers, ratings and other personnel serving on board passenger ships engaged on international voyages. Administrations shall determine the applicability of these requirements to personnel serving on passenger ships engaged on domestic voyages.

2 Before being assigned shipboard duties, all persons serving on a passenger ship shall meet the requirements of section A-VI/1, paragraph 1 of the STCW Code.

3 Masters, officers, ratings and other personnel serving on board passenger ships, shall complete the training and familiarization required by paragraphs 5 to 9 below in accordance with their capacity, duties and responsibilities.

¹ The Polar Code-related draft amendments to the STCW Convention and Code were previously circulated under Circular Letter No.3556, dated 28 July 2015, but reproduced as a consolidated text.

https://edocs.imo.org/Final Documents/English/MSC 96-25-ADD.1 (E).docx
4 Masters, officers, ratings and other personnel who are required to be trained in accordance with paragraphs 7 to 9 below shall, at intervals not exceeding five years, undertake appropriate refresher training or be required to provide evidence of having achieved the required standard of competence within the previous five years.

5 Personnel serving on board passenger ships shall complete passenger ship emergency familiarization appropriate to their capacity, duties and responsibilities as specified in section A-V/2, paragraph 1 of the STCW Code.

6 Personnel providing direct service to passengers in passenger spaces on board passenger ships shall complete the safety training specified in section A-V/2, paragraph 2 of the STCW Code.

7 Masters, officers, ratings qualified in accordance with chapters II, III and VII and other personnel designated on the muster list to assist passengers in emergency situations on board passenger ships shall complete passenger ship crowd management training as specified in section A-V/2, paragraph 3 of the STCW Code.

8 Masters, chief engineer officers, chief mates, second engineer officers and any person designated on the muster list of having responsibility for the safety of passengers in emergency situations on board passenger ships shall complete approved training in crisis management and human behaviour as specified in section A-V/2, paragraph 4 of the STCW Code.

9 Masters, chief engineer officers, chief mates, second engineer officers and every person assigned immediate responsibility for Embarking and disembarking passengers, for loading, discharging or securing cargo, or for closing hull openings on board ro-ro passenger ships shall complete approved training in passenger safety, cargo safety and hull integrity as specified in section A-V/2, paragraph 5 of the STCW Code.

10 Administrations shall ensure that documentary evidence of the training which has been completed is issued to every person found qualified in accordance with paragraphs 6 to 9 of this regulation.”

4 In chapter V, the following new regulation is added:

“Regulation V/4

Mandatory minimum requirements for the training and qualifications of masters and deck officers on ships operating in polar waters.

1 Masters, chief mates and officers in charge of a navigational watch on ships operating in polar waters shall hold a certificate in basic training for ships operating in polar waters, as required by the Polar Code.

2 Every candidate for a certificate in basic training for ships operating in polar waters shall have completed an approved basic training for ships operating in polar waters and meet the standard of competence specified in section A-V/4, paragraph 1 of the STCW Code.

3 Masters and chief mates on ships operating in polar waters, shall hold a certificate in advanced training for ships operating in polar waters, as required by the Polar Code.
4 Every candidate for a certificate in advanced training for ships operating in polar waters shall:

.1 meet the requirements for certification in basic training for ships in polar waters;

.2 have at least two (2) months of approved seagoing service in the deck department, at management level or while performing watchkeeping duties at the operational level, within polar waters or other equivalent approved seagoing service; and

.3 have completed approved advanced training for ships operating in polar waters and meet the standard of competence specified in section A-V/4, paragraph 2 of the STCW Code.

5 Administrations shall ensure that a Certificate of Proficiency is issued to seafarers who are qualified in accordance with paragraphs 2 or 4, as appropriate.

Transitional provisions

6 Until [entry into force date plus 2 years], seafarers who commenced approved seagoing service in polar waters prior to [the date of entry into force of this section] shall be able to establish that they meet the requirements of paragraph 2 by:

.1 having completed approved seagoing service on board a ship operating in polar waters or equivalent approved seagoing service, performing duties in the deck department at the operational or management level, for a period of at least three months in total during the preceding five years; or

.2 having successfully completed a training course meeting the training guidance established by the Organization for ships operating in polar waters.*

7 Until [entry into force date plus 2 years], seafarers who commenced approved seagoing service in polar waters prior to [the date of entry into force of this section] shall be able to establish that they meet the requirements of paragraph 4 by:

.1 having completed approved seagoing service on board a ship operating in polar waters or equivalent approved seagoing service, performing duties in the deck department at management level, for a period of at least three months in total during the preceding five years; or

.2 having successfully completed a training course meeting the training guidance established by the Organization for ships operating in polar waters and having completed approved seagoing service on board a ship operating in polar waters or equivalent approved seagoing service, performing duties in the deck department at the management level, for a period of at least two months in total during the preceding five years.*

***

* Refer to section B-V/g of the STCW Code.
THE MARITIME SAFETY COMMITTEE,

RECALLING Article 28(b) of the Convention on the International Maritime Organization concerning the functions of the Committee,

RECALLING ALSO Article XII and regulation I/1.2.3 of the International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978 ("the Convention"), concerning the procedures for amending part A of the Seafarers' Training, Certification and Watchkeeping (STCW) Code,

HAVING CONSIDERED, at its [ninety-seventh] session, amendments to part A of the STCW Code, proposed and circulated in accordance with article XII(1)(a)(i) of the Convention,

ADOPTS, in accordance with article XII(1)(a)(iv) of the Convention, amendments to the STCW Code, the text of which is set out in the annex to the present resolution;

DETERMINES, in accordance with article XII(1)(a)(vii)(2) of the Convention, that the said amendments to the STCW Code shall be deemed to have been accepted on [1 January 2018], unless, prior to that date, more than one third of Parties, or Parties the combined merchant fleets of which constitute not less than 50% of the gross tonnage of the world's merchant shipping of ships of 100 gross tonnage or more, have notified to the Secretary-General of the Organization their objections to the amendments;

INVITES Parties to note that, in accordance with article XII(1)(a)(ix) of the Convention, the annexed amendments to the STCW Code shall enter into force on [1 July 2018] upon their acceptance in accordance with paragraph 2 above;

URGES Parties to implement the amendments to section A-I/11 and section A-V/4 at an early stage;

REQUESTS the Secretary-General, for the purposes of article XII(1)(a)(v) of the Convention, to transmit certified copies of the present resolution and the text of the amendments contained in the annex to all Parties to the Convention;

REQUESTS ALSO the Secretary-General to transmit copies of this resolution and its annex to Members of the Organization, which are not Parties to the Convention.
CHAPTER I – General provisions

1 In section A-I/11, after the existing paragraph 3, a new paragraph 4 is added as follows:

"4 Continued professional competence for masters and officers on board ships operating in polar waters as required under regulation I/11 shall be established by:

.1 approved seagoing service, performing functions appropriate to the certificate held, for a period of at least two months in total during the preceding five years; or

.2 having performed functions considered to be equivalent to the seagoing service required in paragraph 4.1; or

.3 passing an approved test; or

.4 successfully completing an approved training course or courses."

2 In section A-I/14, after existing paragraph 3, new paragraph 4 is added as follows:

"4 Companies shall ensure that masters and officers on board their passenger ships shall have completed familiarization training to attain the abilities that are appropriate to the capacity to be filled and duties and responsibilities to be taken up, taking into account the guidance given in section B-I/14, paragraph 3 of this Code."

CHAPTER V – Standards regarding special training requirements for personnel on certain types of ships

3 In chapter V, the existing section A-V/2 is replaced by the following:

"Section A-V/2

Mandatory minimum requirements for the training and qualification of masters, officers, ratings and other personnel on passenger ships

Passenger ship emergency familiarization

1 Before being assigned to shipboard duties, all personnel serving on board passenger ships engaged on international voyages shall ensure attainment of the abilities that are appropriate to their duties and responsibilities as follows:

Contribute to the implementation of emergency plans, instructions and procedures

.1 Familiar with:

.1.1 general safety features aboard ship;

* The Polar Code-related draft amendments to the STCW Convention and Code were previously circulated under Circular Letter No.3556, dated 28 July 2015, but reproduced as a consolidated text.
.1.2 location of essential safety and emergency equipment, including life-saving appliances;
.1.3 importance of personal conduct during an emergency; and
.1.4 restrictions on the use of elevators during emergencies.

Contribute to the effective communication with passengers during an emergency

.2 Ability to:
.2.1 communicate in the working language of the ship;
.2.2 non-verbally communicate safety information; and
.2.3 understand one of the languages in which emergency announcements may be broadcast on the ship during an emergency or drill.

Safety training for personnel providing direct service to passengers in passenger spaces

2 Before being assigned to shipboard duties, the additional safety training required by regulation V/2, paragraph 6, shall at least ensure attainment of the abilities as follows:

Communication

.1 Ability to communicate with passengers during an emergency, taking into account:
.1.1 the language or languages appropriate to the principal nationalities of passengers carried on the particular route;
.1.2 the likelihood that an ability to use an elementary English vocabulary for basic instructions can provide a means of communicating with a passenger in need of assistance whether or not the passenger and crew member share a common language;
.1.3 the possible need to communicate during an emergency by some other means, such as by demonstration, or hand signals, or calling attention to the location of instructions, muster stations, life-saving devices or evacuation routes, when oral communication is impractical;
.1.4 the extent to which complete safety instructions have been provided to passengers in their native language or languages; and
.1.5 the languages in which emergency announcements may be broadcast during an emergency or drill to convey critical guidance to passengers and to facilitate crew members in assisting passengers.
Life-saving appliances

.2 Ability to demonstrate to passengers the use of personal life-saving appliances.

Embarkation procedures

.3 Embarking and disembarking passengers, with special attention to disabled persons and persons needing assistance.

Passenger ship crowd management training

3 Before being assigned to shipboard duties, masters, officers, ratings qualified in accordance with chapters II, III and VII and personnel designated on the muster list to assist passengers in emergency situations shall:

.1 have successfully completed the crowd management training required by regulation V/2, paragraph 7, as set out in table A-V/2-1; and

.2 be required to provide evidence that the training has been completed in accordance with table A-V/2-1.

Crisis management and human behaviour training

4 Before being assigned to shipboard duties, masters, chief engineer officers, chief mates, second engineer officers and any person designated on the muster list as having responsibility for the safety of passengers in emergency situations shall:

.1 have successfully completed the approved crisis management and human behaviour training required by regulation V/2, paragraph 8, as set out in table A-V/2-2; and

.2 be required to provide evidence that the required standard of competence has been achieved in accordance with the methods and the criteria for evaluating competence tabulated in columns 3 and 4 of table A-V/2-2.

Passenger safety, cargo safety and hull integrity training

5 Before being assigned to shipboard duties, the passenger safety, cargo safety and hull integrity training required by regulation V/2, paragraph 9, for masters, chief engineer officers, chief mates, second engineer officers and persons assigned immediate responsibility for embarking and disembarking passengers, for loading, discharging or securing cargo, or for closing hull openings on board ro-ro passenger ships shall at least ensure attainment of the abilities that are appropriate to their duties and responsibilities as follows:
Loading and embarkation procedures

.1 Ability to apply properly the procedures established for the ship regarding:

.1.1 loading and discharging vehicles, rail cars and other cargo transport units, including related communications;

.1.2 lowering and hoisting ramps;

.1.3 setting up and stowing retractable vehicle decks; and

.1.4 embarking and disembarking passengers, with special attention to disabled persons and persons needing assistance.

Carriage of dangerous goods

.2 Ability to apply any special safeguards, procedures and requirements regarding the carriage of dangerous goods on board ro-ro passenger ships.

Securing cargoes

.3 Ability to:

.3.1 apply correctly the provisions of the Code of Safe Practice for Cargo Stowage and Securing to the vehicles, rail cars and other cargo transport units carried; and

.3.2 use properly the cargo-securing equipment and materials provided, taking into account their limitations.

Stability, trim and stress calculations

.4 Ability to:

.4.1 make proper use of the stability and stress information provided;

.4.2 calculate stability and trim for different conditions of loading, using the stability calculators or computer programs provided;

.4.3 calculate load factors for decks; and

.4.4 calculate the impact of ballast and fuel transfers on stability, trim and stress.
Opening, closing and securing hull openings

0.5 Ability to:

0.5.1 apply properly the procedures established for the ship regarding the opening, closing and securing of bow, stern and side doors and ramps and to correctly operate the associated systems; and

0.5.2 conduct surveys on proper sealing.

Ro-ro deck atmosphere

0.6 Ability to:

0.6.1 use equipment, where carried, to monitor atmosphere in ro-ro spaces; and

0.6.2 apply properly the procedures established for the ship for ventilation of ro-ro spaces during loading and discharging of vehicles, while on voyage and in emergencies.

Table A-V/2-1
Specification of minimum standard of competence in passenger ship crowd management training

<table>
<thead>
<tr>
<th>Column 1</th>
<th>Column 2</th>
<th>Column 3</th>
<th>Column 4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Competence</td>
<td>Knowledge, understanding and proficiency</td>
<td>Methods for demonstrating competence</td>
<td>Criteria for evaluating competence</td>
</tr>
<tr>
<td>Contribute to the implementation of shipboard emergency plans and procedures to muster and evacuate passengers</td>
<td>Knowledge of the shipboard emergency plans, instructions and procedures related to the management and evacuation of passengers Knowledge of applicable crowd management techniques and relevant equipment to be used to assist passengers in an emergency situation Knowledge of muster lists and emergency instructions</td>
<td>Assessment of evidence obtained from training and/or instruction</td>
<td>Actions taken in case of an emergency are appropriate and comply with established procedures</td>
</tr>
<tr>
<td>Assist passengers en route to muster and embarkation stations</td>
<td>Ability to give clear reassuring orders Ability to manage passengers in corridors, staircases and passageways</td>
<td>Assessment of evidence obtained from practical training and/or instruction</td>
<td>Actions taken conform with emergency plans, instructions and procedures</td>
</tr>
<tr>
<td>Column 1</td>
<td>Column 2</td>
<td>Column 3</td>
<td>Column 4</td>
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</tr>
<tr>
<td>Competence</td>
<td>Knowledge, understanding and proficiency</td>
<td>Methods for demonstrating competence</td>
<td>Criteria for evaluating competence</td>
</tr>
<tr>
<td>Understanding the importance of and having the ability to maintain escape routes clear of obstructions</td>
<td></td>
<td></td>
<td>Information given to individuals, emergency response teams and passengers is accurate, relevant and timely</td>
</tr>
<tr>
<td>Knowledge of methods available for evacuation of disabled persons and persons needing special assistance</td>
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<td></td>
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<tr>
<td>Knowledge of methods of searching passenger accommodation and public spaces</td>
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<tr>
<td>Ability to disembark passengers, with special attention to disabled persons and persons needing assistance</td>
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<tr>
<td>Importance of effective mustering procedures, including:</td>
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<tr>
<td>.1 the importance of keeping order</td>
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<tr>
<td>.2 the ability to use procedures for reducing and avoiding panic</td>
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<tr>
<td>.3 the ability to use, where appropriate, passenger lists for evacuation counts</td>
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<tr>
<td>.4 the importance of passengers being suitably clothed as far as possible when mustering</td>
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<tr>
<td>.5 the ability to check that the passengers have donned their life jackets correctly</td>
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</table>
Table A-V/2-2

Specification of minimum standard of competence in passenger ship crisis management and human behaviour

<table>
<thead>
<tr>
<th>Column 1</th>
<th>Column 2</th>
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<tbody>
<tr>
<td>Competence</td>
<td>Knowledge, understanding and proficiency</td>
<td>Methods for demonstrating competence</td>
<td>Criteria for evaluating competence</td>
</tr>
<tr>
<td>Organize shipboard emergency procedures</td>
<td>Knowledge of:</td>
<td></td>
<td>The shipboard emergency procedures ensure a state of readiness to respond to emergency situations</td>
</tr>
<tr>
<td></td>
<td>.1 the general design and layout of the ship</td>
<td>Assessment of evidence obtained from approved training, exercises with one or more prepared emergency plans and practical demonstration</td>
<td></td>
</tr>
<tr>
<td></td>
<td>.2 safety regulations</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>.3 emergency plans and procedures</td>
<td></td>
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<tr>
<td></td>
<td>The importance of the principles for the development of ship-specific emergency procedures, including:</td>
<td></td>
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<tr>
<td></td>
<td>.1 the need for pre-planning and drills of shipboard emergency procedures</td>
<td></td>
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</tr>
<tr>
<td></td>
<td>.2 the need for all personnel to be aware of and adhere to pre-planned emergency procedures as carefully as possible in the event of an emergency situation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Optimize the use of resources</td>
<td>Ability to optimize the use of resources, taking into account:</td>
<td>Assessment of evidence obtained from approved training, practical demonstration and shipboard training and drills of emergency procedures</td>
<td>Contingency plans optimize the use of available resources</td>
</tr>
<tr>
<td></td>
<td>.1 the possibility that resources available in an emergency may be limited</td>
<td></td>
<td>Allocation of tasks and responsibilities reflects the known competence of individuals</td>
</tr>
<tr>
<td></td>
<td>.2 the need to make full use of personnel and equipment immediately available and, if necessary, to improvise</td>
<td></td>
<td>Roles and responsibilities of teams and individuals are clearly defined</td>
</tr>
<tr>
<td></td>
<td>Ability to organize realistic drills to maintain a state of readiness, taking into account lessons learnt from previous accidents involving passenger ships; debriefing after drills</td>
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<td>Competence</td>
<td>Knowledge, understanding and proficiency</td>
<td>Methods for demonstrating competence</td>
<td>Criteria for evaluating competence</td>
</tr>
<tr>
<td>Control response to emergencies</td>
<td>Ability to make an initial assessment and provide an effective response to emergency situations in accordance with established emergency procedures</td>
<td>Assessment of evidence obtained from approved training, practical demonstration and shipboard training and drills of emergency procedures</td>
<td>Procedures and actions are in accordance with established principles and plans for crisis management on board</td>
</tr>
<tr>
<td></td>
<td><strong>Leadership skills</strong></td>
<td></td>
<td>Objectives and strategy are appropriate to the nature of the emergency, take account of contingencies and make optimum use of available resources</td>
</tr>
<tr>
<td></td>
<td>Ability to lead and direct others in emergency situations, including the need:</td>
<td></td>
<td>Actions of crew members contribute to maintaining order and control</td>
</tr>
<tr>
<td></td>
<td>.1 to set an example during emergency situations</td>
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<td></td>
<td>.2 to focus decision making, given the need to act quickly in an emergency</td>
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</tr>
<tr>
<td></td>
<td>.3 to motivate, encourage and reassure passengers and other personnel</td>
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<td></td>
<td><strong>Stress handling</strong></td>
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<td></td>
<td>Ability to identify the development of symptoms of excessive personal stress and those of other members of the ship's emergency team</td>
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</tr>
<tr>
<td></td>
<td>Understanding that stress generated by emergency situations can affect the performance of individuals and their ability to act on instructions and follow procedures</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Control passengers and other personnel during emergency situations</td>
<td><strong>Human behaviour and responses</strong></td>
<td>Assessment of evidence obtained from approved training, practical demonstration and shipboard training and drills of emergency procedures</td>
<td>Actions of crew members contribute to maintaining order and control</td>
</tr>
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<td></td>
<td>Ability to control passengers and other personnel in emergency situations, including:</td>
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<tr>
<td></td>
<td>.1 awareness of the general reaction patterns of passengers and other personnel in emergency situations, including the possibility that:</td>
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<td>Knowledge, understanding and proficiency</td>
<td>Methods for demonstrating competence</td>
<td>Criteria for evaluating competence</td>
</tr>
<tr>
<td>.1.1 generally it takes some time before people accept the fact that there is an emergency situation</td>
<td>.1.2 some people may panic and not behave with a normal level of rationality, that their ability to comprehend may be impaired and they may not be as responsive to instructions as in non-emergency situations</td>
<td>.2 awareness that passengers and other personnel may, inter alia:</td>
<td>.2.1 start looking for relatives, friends and/or their belongings as a first reaction when something goes wrong</td>
</tr>
<tr>
<td>.2 seek safety in their cabins or in other places on board where they think that they can escape danger</td>
<td>.2.3 tend to move to the upper side when the ship is listing</td>
<td>.3 appreciation of the possible problem of panic resulting from separating families</td>
<td>Establish and maintain effective communications Ability to establish and maintain effective communications, including: .1 the importance of clear and concise instructions and reports</td>
</tr>
<tr>
<td>Establish and maintain effective communications</td>
<td>Assessment of evidence obtained from approved training, exercises and practical demonstration</td>
<td>Information from all available sources is obtained, evaluated and confirmed as quickly as possible and reviewed throughout the emergency</td>
<td></td>
</tr>
<tr>
<td>Column 1</td>
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<td>Column 3</td>
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<tr>
<td>Competence</td>
<td>Knowledge, understanding and proficiency</td>
<td>Methods for demonstrating competence</td>
<td>Criteria for evaluating competence</td>
</tr>
<tr>
<td>.2 the need to encourage an exchange of information with, and feedback from, passengers and other personnel</td>
<td>Ability to provide relevant information to passengers and other personnel during an emergency situation, to keep them apprised of the overall situation and to communicate any action required of them, taking into account:</td>
<td>Information given to individuals, emergency response teams and passengers is accurate, relevant and timely</td>
<td>Information keeps passengers informed as to the nature of the emergency and the actions required of them</td>
</tr>
<tr>
<td>.1 the language or languages appropriate to the principal nationalities of passengers and other personnel carried on the particular route</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>.2 the possible need to communicate during an emergency by some other means, such as by demonstration, or by hand signals or calling attention to the location of instructions, muster stations, life-saving devices or evacuation routes, when oral communication is impractical</td>
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<td></td>
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<tr>
<td>.3 the language in which emergency announcements may be broadcast during an emergency or drill to convey critical guidance to passengers and to facilitate crew members in assisting passengers</td>
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</tr>
</tbody>
</table>
4 A new section A-V/4 is added as follows:

"Section A-V/4

Mandatory minimum requirements for the training and qualifications of masters and deck officers on ships operating in polar waters

Standard of competence

1 Every candidate for certification in basic training for ships operating in polar waters shall be required to:

.1 demonstrate the competence to undertake the tasks, duties and responsibilities listed in column 1 of table A-V/4-1; and

.2 provide evidence of having achieved:

.1 the minimum knowledge, understanding and proficiency listed in column 2 of table A-V/4-1; and

.2 the required standard of competence in accordance with the methods for demonstrating competence and the criteria for evaluating competence tabulated in columns 3 and 4 of table A-V/4-1.

2 Every candidate for certification in advanced training for ships operating in polar waters shall be required to:

.1 demonstrate the competence to undertake the tasks, duties and responsibilities listed in column 1 of table A-V/4-2; and

.2 provide evidence of having achieved:

.1 the minimum knowledge, understanding and proficiency listed in column 2 of table A-V/4-2; and

.2 the required standard of competence in accordance with the methods for demonstrating competence and the criteria for evaluating competence tabulated in columns 3 and 4 of table A-V/4-2.
### Table A-V/4-1

*Specification of minimum standard of competence in basic training for ships operating in polar waters*

<table>
<thead>
<tr>
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<td>Knowledge, understanding and proficiency</td>
<td>Methods for demonstrating competence</td>
<td>Criteria for evaluating competence</td>
</tr>
<tr>
<td>Contribute to safe operation of vessels operating in polar waters</td>
<td><em>Basic knowledge of ice characteristics and areas where different types of ice can be expected in the area of operation:</em></td>
<td>Examination and assessment of evidence obtained from one or more of the following:</td>
<td>Identification of ice properties and their characteristics of relevance for safe vessel operation</td>
</tr>
<tr>
<td></td>
<td>.1 ice physics, terms, formation, growth, ageing and stage of melt</td>
<td>.1 approved in-service experience</td>
<td>Information obtained from ice information and publications is interpreted correctly and properly applied</td>
</tr>
<tr>
<td></td>
<td>.2 ice types and concentrations</td>
<td>.2 approved training ship experience</td>
<td>Use of visible and infrared satellite images</td>
</tr>
<tr>
<td></td>
<td>.3 ice pressure and distribution</td>
<td>.3 approved simulator training, where appropriate</td>
<td>Use of egg charts</td>
</tr>
<tr>
<td></td>
<td>.4 friction from snow covered ice</td>
<td>.4 approved training programme</td>
<td>Coordination of meteorological and oceanographic data with ice data</td>
</tr>
<tr>
<td></td>
<td>.5 implications of spray-icing; danger of icing up; precautions to avoid icing up and options during icing up</td>
<td></td>
<td>Measurements and observations of weather and ice conditions are accurate and appropriate for safe passage planning</td>
</tr>
<tr>
<td></td>
<td>.6 ice regimes in different regions; significant differences between the Arctic and the Antarctic, first year and multiyear ice, sea ice and land ice</td>
<td></td>
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</tr>
<tr>
<td></td>
<td>.7 use of ice imagery to recognize consequences of rapid change in ice and weather conditions</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>.8 knowledge of ice sky and water blink</td>
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<tr>
<td></td>
<td>.9 knowledge of differential movement of icebergs and pack ice</td>
<td></td>
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<tr>
<td></td>
<td>.10 knowledge of tides and currents in ice</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>.11 knowledge of effect of wind and current on ice</td>
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</tr>
</tbody>
</table>

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<td>Knowledge, understanding and proficiency</td>
<td>Methods for demonstrating competence</td>
<td>Criteria for evaluating competence</td>
</tr>
<tr>
<td><strong>Basic knowledge of vessel</strong></td>
<td>performance in ice and low air temperature:</td>
<td>Examination and assessment of evidence</td>
<td>Identification of vessel</td>
</tr>
<tr>
<td></td>
<td>.1 vessel characteristics</td>
<td>obtained from one or more of the following:</td>
<td>characteristics and limitations under</td>
</tr>
<tr>
<td></td>
<td>.2 vessel types, hull designs</td>
<td>.1 approved in-service experience</td>
<td>different ice conditions and cold</td>
</tr>
<tr>
<td></td>
<td>.3 engineering requirements for</td>
<td>.2 approved training</td>
<td>environmental impact</td>
</tr>
<tr>
<td></td>
<td>operating in ice</td>
<td>ship experience</td>
<td>Procedures are made</td>
</tr>
<tr>
<td></td>
<td>.4 Ice strengthening</td>
<td>.3 approved simulator training, where</td>
<td>for risk assessment</td>
</tr>
<tr>
<td></td>
<td>requirements</td>
<td>appropriate</td>
<td>before entering ice</td>
</tr>
<tr>
<td></td>
<td>.5 limitations of ice-classes</td>
<td>.4 approved training programme</td>
<td>Awareness of fresh</td>
</tr>
<tr>
<td></td>
<td>.6 winterization and</td>
<td></td>
<td>water ballast freezing</td>
</tr>
<tr>
<td></td>
<td>preparedness of vessel, including deck and</td>
<td></td>
<td>in ballast tanks</td>
</tr>
<tr>
<td></td>
<td>engine</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>.7 low-temperature system</td>
<td></td>
<td>Communications are</td>
</tr>
<tr>
<td></td>
<td>performance</td>
<td></td>
<td>clear, concise and</td>
</tr>
<tr>
<td></td>
<td>.8 equipment and machinery</td>
<td></td>
<td>effective at all times in</td>
</tr>
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<td></td>
<td>limitation in ice condition and low air</td>
<td></td>
<td>a seamanlike manner</td>
</tr>
<tr>
<td></td>
<td>temperature</td>
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<tr>
<td></td>
<td>.9 monitoring of ice pressure</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>on hull</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>.10 sea suction, water intake,</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>superstructure insulation and special systems</td>
<td></td>
<td></td>
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<td></td>
</tr>
<tr>
<td><strong>Basic knowledge and ability</strong></td>
<td>operate and manoeuvre a vessel in ice:</td>
<td>Examination and assessment of evidence</td>
<td>Use Polar Code and</td>
</tr>
<tr>
<td></td>
<td></td>
<td>obtained from one or more of the following:</td>
<td>Polar Water Operations</td>
</tr>
<tr>
<td></td>
<td></td>
<td>.1 approved in-service experience</td>
<td>Manual to correctly determine the</td>
</tr>
<tr>
<td></td>
<td></td>
<td>.2 approved training</td>
<td>recommended procedures to</td>
</tr>
<tr>
<td></td>
<td></td>
<td>ship experience</td>
<td>load/unload cargo and/or</td>
</tr>
<tr>
<td></td>
<td></td>
<td>.3 approved simulator training, where</td>
<td>embark/disembark passengers in low</td>
</tr>
<tr>
<td></td>
<td></td>
<td>appropriate</td>
<td>temperatures, monitor</td>
</tr>
<tr>
<td></td>
<td></td>
<td>.4 approved training programme</td>
<td>ballast water for icing, monitor</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>engine temperatures, anchor</td>
</tr>
<tr>
<td></td>
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<td></td>
<td>watch concerns in ice, and transit near ice</td>
</tr>
</tbody>
</table>

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<tr>
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<tr>
<td>Competence</td>
<td>Knowledge, understanding and proficiency</td>
<td>Methods for demonstrating competence</td>
<td>Criteria for evaluating competence</td>
</tr>
<tr>
<td>Monitor and ensure compliance with legislative requirements</td>
<td></td>
<td></td>
<td>Interpretation and analysis of information from radar is in accordance with lookout procedures with special caution regarding identification of dangerous ice features</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Information obtained from navigational charts, including electronic charts, and publications is relevant, assessed, interpreted correctly and properly applied</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>The primary method of position fixing is frequent and the most appropriate for the prevailing conditions and routing through ice</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Performance checks and tests of navigation and communication systems comply with recommendations for high latitude and low air temperature operation</td>
</tr>
<tr>
<td>Basic knowledge of regulatory considerations:</td>
<td></td>
<td></td>
<td>Locate and apply relevant parts of the Polar Water Operations Manual</td>
</tr>
<tr>
<td>.1 Antarctic Treaty and the Polar Code</td>
<td></td>
<td></td>
<td>Communication is in accordance with local/regional and international standard procedures</td>
</tr>
<tr>
<td>.2 accident reports concerning vessels in polar waters</td>
<td></td>
<td></td>
<td>Legislative requirements related to relevant regulations, codes and practices are identified</td>
</tr>
<tr>
<td>.3 IMO standards for operation in remote areas</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Examination and assessment of evidence obtained from one or more of the following:

.1 approved in-service experience
.2 approved training ship experience
.3 approved simulator training, where appropriate
.4 approved training programme

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<td>Competence</td>
<td>Knowledge, understanding and proficiency</td>
<td>Methods for demonstrating competence</td>
<td>Criteria for evaluating competence</td>
</tr>
<tr>
<td>Apply safe working practices, respond to emergencies</td>
<td>Basic knowledge of crew preparation, working conditions and safety:</td>
<td>Examination and assessment of evidence obtained from one or more of the following:</td>
<td>Identification and initial actions on becoming aware of hazardous situations for vessel and individual crew members</td>
</tr>
<tr>
<td>.1 recognize limitations of search and rescue readiness and responsibility, including sea area A4 and its SAR communication facility limitation</td>
<td>1 approved in-service experience</td>
<td>Actions are carried out in accordance with Polar Water Operations Manual, accepted principles and procedures to ensure safety of operations and to avoid pollution of the marine environment</td>
<td></td>
</tr>
<tr>
<td>.2 awareness of contingency planning</td>
<td>2 approved training ship experience</td>
<td>Safe working practices are observed and appropriate safety and protective equipment is correctly used at all times</td>
<td></td>
</tr>
<tr>
<td>.3 how to establish and implement safe working procedures for crew specific to polar environments such as low temperatures, ice-covered surfaces, personal protective equipment, use of buddy system, and working time limitations</td>
<td>3 approved simulator training, where appropriate</td>
<td>Response actions are in accordance with established plans and are appropriate to the situation and nature of the emergency</td>
<td></td>
</tr>
<tr>
<td>.4 recognize dangers when crews are exposed to low temperatures</td>
<td>4 approved training programme</td>
<td>Correctly identifies and applies legislative requirements related to relevant regulations, codes and practices</td>
<td></td>
</tr>
<tr>
<td>.5 human factors including cold fatigue, medical-first aid aspects, crew welfare</td>
<td></td>
<td>Appropriate safety and protective equipment is correctly used</td>
<td></td>
</tr>
<tr>
<td>.6 survival requirements including the use of personal survival equipment and group survival equipment</td>
<td></td>
<td>Defects and damages are detected and properly reported</td>
<td></td>
</tr>
<tr>
<td>.7 awareness of the most common hull and equipment damage and how to avoid these</td>
<td></td>
<td></td>
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<tr>
<td>.8 superstructure-deck icing, including effect on stability and trim</td>
<td></td>
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<tr>
<td>.9 prevention and removal of ice including the factors of accretion</td>
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<td>Column 1</td>
<td>Column 2</td>
<td>Column 3</td>
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<td>Competence</td>
<td>Knowledge, understanding and proficiency</td>
<td>Methods for demonstrating competence</td>
<td>Criteria for evaluating competence</td>
</tr>
<tr>
<td>.10 recognize fatigue problems due to noise and vibrations</td>
<td>Examination and assessment of evidence obtained from one or more of the following:</td>
<td>Legislative requirements related to relevant regulations, codes and practices are identified</td>
<td></td>
</tr>
<tr>
<td>.11 identify need for extra resources, such as bunker, food and extra clothing</td>
<td>.1 approved in-service experience</td>
<td>Correctly identify/select the limitations on vessel discharges contained in the Polar Code</td>
<td></td>
</tr>
<tr>
<td>Ensure compliance with pollution-prevention requirements and prevent environmental hazards</td>
<td>.2 approved training ship experience</td>
<td>Correctly apply Polar Water Operations Manual/Waste Management Plan to determine limitations on vessel discharges and plans for storing waste</td>
<td></td>
</tr>
<tr>
<td>Basic knowledge of environmental factors and regulations:</td>
<td>.3 approved simulator training, where appropriate</td>
<td>Identify references that provide details of areas to be avoided, such as wildlife refuges, ecological heritage parks, migratory pathways, etc. (MARPOL, Antarctic Treaty, etc.)</td>
<td></td>
</tr>
<tr>
<td>.1 identify particularly sensitive sea areas regarding discharge</td>
<td>.4 approved training programme</td>
<td>Identify factors that must be considered to manage waste stream during polar voyages</td>
<td></td>
</tr>
<tr>
<td>.2 identify areas where shipping is prohibited or should be avoided</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>.3 special areas defined in MARPOL</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>.4 recognize limitations of oil-spill equipment</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>.5 plan for coping with increased volumes of garbage, bilge water, sewage, etc.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>.6 lack of infrastructure</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>.7 oil spill and pollution in ice, including consequences</td>
<td></td>
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<th>Knowledge, understanding and proficiency</th>
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<th>Criteria for evaluating competence</th>
</tr>
</thead>
</table>
| Plan and conduct a voyage in polar waters | Knowledge of voyage planning and reporting:  
.1 information sources  
.2 reporting regimes in polar waters  
.3 development of safe routing and passage planning to avoid ice where possible  
.4 ability to recognize the limitations of hydrographic information and charts in polar regions and whether the information is suitable for safe navigation  
.5 passage planning deviation and modification for dynamic ice conditions  
Knowledge of equipment limitations:  
.1 understand and identify hazards associated with limited terrestrial navigational aids in polar regions  
.2 understand and recognize high latitude errors on compasses  
.3 understand and identify limitations in discrimination of radar targets and ice features in ice-clutter  
.4 understand and recognize limitations of electronic positioning systems at high latitude  
.5 understand and recognize limitations in nautical charts and pilot descriptions | Examination and assessment of evidence obtained from one or more of the following:  
.1 approved in-service experience  
.2 approved training ship experience  
.3 approved simulator training, where appropriate  
.4 approved training programme | The equipment, charts and nautical publications required for the voyage are enumerated and appropriate to the safe conduct of the voyage  
The reasons for the planned route are supported by facts obtained from relevant sources and publications, statistical data and limitations of communication and navigational systems  
Voyage plan correctly identified relevant polar regulatory regimes and need for ice-pilotage and/or icebreaker assistance  
All potential navigational hazards are accurately identified  
Positions, courses, distances and time calculations are correct within accepted accuracy standards for navigational equipment |
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<th>Column 4</th>
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<td>Knowledge, understanding and proficiency</td>
<td>Methods for demonstrating competence</td>
<td>Criteria for evaluating competence</td>
</tr>
<tr>
<td>.6 understand and recognize limitations in communication systems</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Manage the safe operation of vessels operating in polar waters</td>
<td>Knowledge and ability to operate and manoeuvre a vessel in ice:</td>
<td>Examination and assessment of evidence obtained from one or more of the following:</td>
<td>All decisions concerning navigating in ice are based on a proper assessment of the ship's manoeuvring and engine characteristics and the forces to be expected while navigating within polar waters</td>
</tr>
<tr>
<td>.1 preparation and risk assessment before approaching ice, including presence of icebergs, and taking into account wind, darkness, swell, fog and pressure ice</td>
<td>.1 approved in-service experience</td>
<td>Demonstrate communications skills, request ice routeing, plot and commence voyage through ice</td>
<td></td>
</tr>
<tr>
<td>.2 conduct communications with an icebreaker and other vessels in the area and with Rescue Coordination Centres</td>
<td>.2 approved training ship experience</td>
<td>All potential ice hazards are correctly identified</td>
<td></td>
</tr>
<tr>
<td>.3 understand and describe the conditions for the safe entry and exit to and from ice or open water, such as leads or cracks, avoiding icebergs and dangerous ice conditions and maintaining safe distance from icebergs</td>
<td>.3 approved simulator training, where appropriate</td>
<td></td>
<td></td>
</tr>
<tr>
<td>.4 understand and describe ice-ramming procedures including double and single ramming passage</td>
<td>.4 approved training programme</td>
<td></td>
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</tr>
<tr>
<td>.5 recognize and determine the need for bridge watch team augmentation based upon environmental conditions, vessel equipment and vessel ice class</td>
<td></td>
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</tr>
<tr>
<td>.6 recognize the presentations of the various ice conditions as they appear on radar</td>
<td></td>
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<tr>
<td>.7 understand icebreaker convoy terminology, and communications, and take icebreaker direction and move in convoy</td>
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</table>

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<td>Knowledge, understanding and proficiency</td>
<td>Methods for demonstrating competence</td>
<td>Criteria for evaluating competence</td>
</tr>
<tr>
<td>.8 understand methods to avoid besetment and to free beset vessel, and consequences of besetment</td>
<td></td>
<td>Operations are planned and carried out in accordance with established rules and procedures to ensure safety of operation and to avoid pollution of the marine environment</td>
<td></td>
</tr>
<tr>
<td>.9 understand towing and rescue in ice, including risks associated with operation</td>
<td></td>
<td>Safety of navigation is maintained through navigation strategy and adjustment of ship's speed and heading through different types of ice</td>
<td></td>
</tr>
<tr>
<td>.10 handling ship in various ice concentration and coverage, including risks associated with navigation in ice, and turning-backing avoidance, etc.</td>
<td></td>
<td>Actions are understood to permit use of anchoring system in cold temperatures</td>
<td></td>
</tr>
<tr>
<td>.11 use of different type of propulsion and rudder systems, including limitations to avoid damage when operating in ice</td>
<td></td>
<td>Actions are carried out in accordance with accepted principles and procedures to prepare for icebreaker towing, including notch towing</td>
<td></td>
</tr>
<tr>
<td>.12 use of heeling and trim systems, hazards in connection with ballast and trim in relation with ice</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>.13 docking and undocking in ice-covered waters, including hazards associated with operation and the various techniques to safely dock and undock in ice-covered waters</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>.14 anchoring in ice, including the dangers to anchoring system – ice accretion to hawse pipe and ground tackle</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>.15 recognize conditions which impact polar visibility and may give indication of local ice and water conditions, including sea smoke, water blink and refraction</td>
<td></td>
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</tr>
<tr>
<td>Competence</td>
<td>Knowledge, understanding and proficiency</td>
<td>Methods for demonstrating competence</td>
<td>Criteria for evaluating competence</td>
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</tr>
<tr>
<td>Maintain safety of the ship's crew and passengers and the operational condition of life-saving, fire-fighting and other safety systems</td>
<td>Knowledge of safety:</td>
<td>Examination and assessment of evidence obtained from one or more of the following:</td>
<td>Response measures are in accordance with established plans and procedures, and are appropriate to the situation and nature of the emergency</td>
</tr>
<tr>
<td></td>
<td>.1 understand the procedures and techniques for abandoning the ship and survival on ice and in ice-covered waters</td>
<td>.1 approved in-service experience</td>
<td></td>
</tr>
<tr>
<td></td>
<td>.2 recognize limitations of fire-fighting systems and life-saving appliances due to low air temperatures</td>
<td>.2 approved training ship experience</td>
<td></td>
</tr>
<tr>
<td></td>
<td>.3 understand unique concerns in conducting emergency drills in ice and low temperatures</td>
<td>.3 approved simulator training, where appropriate</td>
<td></td>
</tr>
<tr>
<td></td>
<td>.4 understand unique concerns in conducting emergency response in ice and low air and water temperatures</td>
<td>.4 approved training programme</td>
<td></td>
</tr>
</tbody>
</table>
ANNEX 10

DRAFT STCW.6 CIRCULAR

STCW.6/Circ.[…]

AMENDMENTS TO PART B OF THE SEAFARERS’ TRAINING, CERTIFICATION AND WATCHKEEPING (STCW) CODE*

1 The Maritime Safety Committee, at its [ninety-seventh session (21 to 25 November 2016)], adopted the following amendments to part B of the STCW Code.

2 Having adopted, by resolutions MSC.[…](97) and MSC.[…](97) amendments to the STCW Convention and part A of the STCW Code, the Committee decided that the amendments to part B of the STCW Code will become effective on the same date, namely, [1 July 2018].

3 In section B-I/2, table B-I/2 is replaced with the following:

*Table B-I/2

List of certificates or documentary evidence required under the STCW Convention

The list below identifies all certificates or documentary evidence described in the Convention which authorize the holder to serve in certain functions on board ships. The certificates are subject to the requirements of regulation I/2 regarding language and their availability in original form.

The list also references the relevant regulations and the requirements for endorsement, registration and revalidation.

<table>
<thead>
<tr>
<th>Regulations</th>
<th>Type of certificate and brief description</th>
<th>Endorsement attesting recognition of a certificate¹</th>
<th>Registration required²</th>
<th>Revalidation of certificate³</th>
</tr>
</thead>
<tbody>
<tr>
<td>II/1, II/2, II/3, III/1, III/2, III/3, III/6, IV/2, VII/2</td>
<td>Certificate of Competency – For masters, officers and GMDSS radio operators</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>II/4, III/4, VII/2</td>
<td>Certificate of Proficiency – For ratings duly certified to be a part of a navigational or engine-room watch</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>II/5, III/5, III/7, VII/2</td>
<td>Certificate of Proficiency – For ratings duly</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
</tr>
</tbody>
</table>

* The Polar Code-related draft amendments to the STCW Convention and Code were previously circulated under Circular Letter No.3556, dated 28 July 2015, but reproduced as a consolidated text.
<table>
<thead>
<tr>
<th>Regulations</th>
<th>Type of certificate and brief description</th>
<th>Endorsement attesting recognition of a certificate</th>
<th>Registration required</th>
<th>Revalidation of certificate</th>
</tr>
</thead>
<tbody>
<tr>
<td>V/1-1, V/1-2</td>
<td>Certificate of Proficiency or endorsement to a Certificate of Competency – For masters and officers on oil, chemical or liquefied gas tankers</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>V/1-1, V/1-2</td>
<td>Certificate of Proficiency – For ratings on oil, chemical or liquefied gas tankers</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>V/2</td>
<td>Documentary evidence – Training for masters, officers, ratings and other personnel serving on passenger ships</td>
<td>No</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>V/3</td>
<td>Certificate of Proficiency – training for masters, officers, ratings and other personnel on ships subject to the IGF Code</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>V/4</td>
<td>Certificate of Proficiency – for masters and officers on ships operating in polar waters</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>VI/1</td>
<td>Certificate of Proficiency – Basic training</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
</tr>
<tr>
<td>VI/2</td>
<td>Certificate of Proficiency — Survival craft, rescue boats and fast rescue boats</td>
<td>No</td>
<td>Yes</td>
<td>Yes(^5)</td>
</tr>
<tr>
<td>-----</td>
<td>--------------------------------------------------------------------------------</td>
<td>----</td>
<td>-----</td>
<td>------</td>
</tr>
<tr>
<td>VI/3</td>
<td>Certificate of Proficiency — Advanced firefighting</td>
<td>No</td>
<td>Yes</td>
<td>Yes(^5)</td>
</tr>
<tr>
<td>VI/4</td>
<td>Certificate of Proficiency — Medical first aid and medical care</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>VI/5</td>
<td>Certificate of Proficiency — Ship security officer</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>VI/6</td>
<td>Certificate of Proficiency — Security awareness training or security training for seafarers with designated security duties</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
</tr>
</tbody>
</table>

Notes:

1. **Endorsement attesting recognition of a certificate** means endorsement in accordance with regulation I/2, paragraph 7.

2. **Registration required** means as part of register or registers in accordance with regulation I/2, paragraph 14.

3. **Revalidation of a certificate** means establishing continued professional competence in accordance with regulation I/11 or maintaining the required standards of competence in accordance with sections A-V/3 and A-VI/1 to A-VI/3, as applicable.

4. As required by regulation V/2, paragraph 4 seafarers who have completed training in "crowd management", "crisis management and human behaviour" or "passenger safety, cargo safety and hull integrity" shall at intervals not exceeding five years, undertake appropriate refresher training or to provide evidence of having achieved the required standards of competence within the previous five years.

5. The certificates of competency issued in accordance with regulations II/1, II/2, II/3, III/1, III/2, III/3, III/6 and VII/2 include the proficiency requirements in "basic training", "survival craft and rescue boats other than fast rescue boats", "advanced fire-fighting" and "medical first aid" therefore, holders of mentioned certificates of competency are not required to carry Certificates of Proficiency in respect of those competences of chapter VI.

6. In accordance with sections A-VI/1, A-VI/2 and A-VI/3, seafarers shall provide evidence of having maintained the required standards of competence every five years.

7. Where security awareness training or training in designated security duties is not included in the qualification for the certificate to be issued.

8. In accordance with regulation V/3, seafarers shall, at intervals not exceeding five years, undertake appropriate refresher training or be required to provide evidence of having achieved the required standard of competence within the previous five years."
In section B-I/14, after existing paragraph 2, the following new paragraph 3 is added and the remaining paragraphs are renumbered accordingly:

"3  The familiarization training required by paragraph 4 of section A-I/14 should at least ensure attainment of the abilities that are appropriate to the capacity to be filled and the duties and responsibilities to be taken up, as follows:

Design and operational limitations

.1  Ability to properly understand and observe any operational limitations imposed on the ship, and to understand and apply performance restrictions, including speed limitations in adverse weather, which are intended to maintain the safety of life, ship and cargo.

Legislation, codes and agreements affecting passenger ships

.2  Ability to understand and apply international and national requirements for passenger ships relevant to the ship concerned and the duties to be performed."

***
ANNEX 11

RESOLUTION MSC.407(96)
(adopted on 19 May 2016)

AMENDMENTS TO THE CODE FOR THE CONSTRUCTION AND EQUIPMENT
OF MOBILE OFFSHORE DRILLING UNITS, 2009 (2009 MODU CODE)

THE MARITIME SAFETY COMMITTEE,

RECALLING Article 28(b) of the Convention on the International Maritime Organization concerning the functions of the Committee,

RECALLING ALSO that the Assembly, when adopting resolution A.1023(26) on the Code for the Construction and Equipment of Mobile Offshore Drilling Units, 2009 (2009 MODU Code), authorized the Committee to amend the Code as appropriate, taking into consideration development in the design and technologies, in consultation with appropriate organizations,

RECOGNIZING the need for harmonizing the requirements for helicopter facility foam firefighting appliances,

HAVING CONSIDERED, at its ninety-sixth session, the recommendations made by the Sub-Committee on Ship Systems and Equipment, at its second session,

1 ADOPTS amendments to the 2009 MODU Code, set out in the annex to the present resolution;

2 INVITES all Governments concerned to take appropriate steps to give effect to the annexed amendments to the 2009 MODU Code by 1 January 2020.
ANNEX

AMENDMENTS TO THE CODE FOR THE CONSTRUCTION AND EQUIPMENT OF MOBILE OFFSHORE DRILLING UNITS, 2009 (2009 MODU CODE)

CHAPTER 9
FIRE SAFETY

Paragraph 9.16 – Provisions for helicopter facilities

The following new paragraph 9.16.4.6 is added after existing paragraph 9.16.4.5, and the remaining paragraphs renumbered accordingly:

"6. In lieu of the provisions of paragraphs 9.16.4.3 to 9.16.4.5, on units constructed on or after 1 January 2020, foam firefighting appliances complying with the provisions of the FSS Code;"

***
### ANNEX 12

**REVISED TIMETABLE AND SCHEDULE OF ACTIVITIES FOR THE IMPLEMENTATION OF THE GBS VERIFICATION SCHEME**

<table>
<thead>
<tr>
<th>Timeline</th>
<th>Action</th>
</tr>
</thead>
</table>
| **May 2016** | • MSC 96 takes final decisions on conformity with GBS for all rules submitted  
• MSC 96 circulates appropriate MSC circular to Member States  
• Secretariat maintains list of all rules verified to conform to the Standards  
• MSC 96 agrees on the revised timetable and schedule of activities for the implementation of the GBS verification scheme  
• Secretary-General notifies the relevant Administrations/ROs of MSC’s decision |
| **1 July 2016** | GBS SOLAS amendments (and Standards) become applicable |
| **November 2016** | MSC 97 reconsiders the verification process and funding mechanism, and initiates the consideration of amendments to GBS Guidelines, taking into account the observations provided by the audit teams (MSC 96/5/2) |
| **31 December 2016** | Deadline for the receipt of new self-assessment and verification request for the rectification of non-conformities, as well as the status of addressing of observations |
| **January 2017 to March 2017** | Secretariat organizes verification audit for the rectification of non-conformities and finalizes report |
| **March 2017** | Secretariat prepares documentation on audit for the rectification of non-conformities and the status of addressing of observations |
| **June 2017** | • MSC 98 confirms that the non-conformities are rectified and circulates appropriate MSC circular to Member States  
• MSC 98 finalizes the amendments to part A on verification process to the GBS Guidelines for future audits  
• MSC 98 takes decisions on the funding mechanism for future audit  
• Secretariat maintains list of all rules verified to conform to the Standards |
| **31 December 2017** | Deadline for the receipt of rule change information and request for new initial verification audits, if any |
| **January 2018 to June 2018** | • Secretariat organizes audits of rule changes, ad hoc rule change audits and new initial verification audits as may be requested  
• Secretariat processes any appeal requests |
| **July 2018** | • Secretariat prepares documentation on annual audits (if any), ad hoc rule change audits and new initial verification audits |
| **November 2018** | • MSC 100 finalizes the amendments to part B on information/documentation requirements and evaluation criteria of the GBS Guidelines  
• MSC 100 takes decisions on annual audits (if any), ad hoc rule change audits and new initial verification audits |

***

[https://edocs.imo.org/Final Documents/English/MSC 96-25-ADD.1 (E).docx](https://edocs.imo.org/Final Documents/English/MSC 96-25-ADD.1 (E).docx)
ANNEX 13

DRAFT AMENDMENTS TO SOLAS REGULATIONS II-2/1 AND II-2/10

CHAPTER II-2
CONSTRUCTION – FIRE PROTECTION, FIRE DETECTION AND FIRE EXTINCTION

PART A
GENERAL

Regulation 1 – Application

1 The following new paragraph is added after existing paragraph 2.8:

"2.9 Regulation 10.5.1.2.2, as amended by resolution MSC.[…][…]), applies to ships constructed before [date of entry into force], including those constructed before 1 July 2012."

PART C
SUPPRESSION OF FIRE

Regulation 10 – Firefighting

2 In paragraph 5.1.2.2, the last sentence is amended to read as follows:

"In the case of domestic boilers of less than 175 kW, or boilers protected by fixed water-based local application fire-extinguishing systems as required by paragraph 5.6, an approved foam-type extinguisher of at least 135 l capacity is not required."

***

1 Tracked changes are created using "strikeout" for deleted text and "grey shading" to highlight all modifications and new insertions, including deleted text.
The following new regulation 2-1 is inserted after the existing regulation 2:

"Regulation 2-1 – Harmonization of survey periods of cargo ships not subject to the ESP Code

For cargo ships not subject to enhanced surveys under regulation XI-1/2, notwithstanding any other provisions, the intermediate and renewal surveys included in regulation I/10 may be carried out and completed over the corresponding periods as specified in the 2011 ESP Code, as may be amended and the guidelines developed by the Organization*, as appropriate.

* Refer to Survey Guidelines under the harmonized system of survey and certification (HSSC), […], as adopted by the Assembly of the Organization by resolution [A....(…)]."

***
3.2 Accommodation, service and machinery spaces and control stations

In paragraph 3.2.5, the words "Wheelhouse windows shall be constructed to not less than "A-0" class (for external fire load)." are deleted.
ANNEX 16

DRAFT AMENDMENTS TO SOLAS CHAPTER II-1

PART A
GENERAL

Regulation 1 – Application

1 The following new paragraphs 1.1.1 and 1.1.2 are added after the existing paragraph 1.1:

"1.1.1 Unless expressly provided otherwise, parts B, B-1, B-2 and B-4 of this chapter shall only apply to ships:

.1 for which the building contract is placed on or after [date 1]; or

.2 in the absence of a building contract, the keel of which is laid or which are at a similar stage of construction on or after [date 2]; or

.3 the delivery of which is on or after [date 3].

1.1.2 Unless expressly provided otherwise, for ships not subject to the provisions of subparagraph 1.1.1 but constructed on or after 1 January 2009, the Administration shall ensure that the requirements for parts B, B-1, B-2 and B-4 which are applicable under chapter II-1 of the International Convention for the Safety of Life at Sea, 1974, as amended by resolutions MSC.216(82), MSC.269(85) and MSC.325(90) are complied with."

2 The existing paragraph 1.3.4 is deleted.

3 The text of existing paragraph 2 is amended to read as follows:

"Unless expressly provided otherwise, for ships constructed before 1 January 2009, the Administration shall ensure that the requirements which are applicable under chapter II-1 of the International Convention for the Safety of Life at Sea, 1974, as amended by resolutions MSC.1(XLV), MSC.6(48), MSC.11(55), MSC.12(56), MSC.13(57), MSC.19(58), MSC.26(60), MSC.27(61), Resolution 1 of the 1995 SOLAS Conference, MSC.47(66), MSC.57(67), MSC.65(68), MSC.69(69), MSC.99(73), MSC.134(76), MSC.151(78), and MSC.170(79) and MSC.[…](99) are complied with."

Regulation 2 – Definitions

4 The existing text of paragraph 2 is replaced with the following:

"2 Amidships is at the middle of the length (L)."

Tracked changes are created using "strikeout" for deleted text and "grey shading" to highlight all modifications and new insertions, including deleted text.
The existing paragraphs 9, 10, 13 and 19 are amended to read as follows:

"9  Draught \((d)\) is the vertical distance from the keel line at:

1 mid-length amidships, for ships subject to the provisions of regulation II-1/1.1.1.1; and

2 the mid-point of the subdivision length \((L_s)\), for ships not subject to the provisions of regulation II-1/1.1.1.1 but constructed on or after 1 January 2009; to the waterline in question.

10  Deepest subdivision draught \((d_s)\) is the waterline which corresponds to the summer load line draught of the ship.

... 

13  Trim is the difference between the draught forward and the draught aft, where the draughts are measured at the forward and aft:

1 terminals perpendiculars respectively, as defined in the International Convention on Load Lines in force, for ships subject to the provisions of regulation II-1/1.1.1.1; and

2 terminals respectively, for ships not subject to the provisions of regulation II-1/1.1.1.1 but constructed on or after 1 January 2009; disregarding any rake of keel.

... 

19  Bulkhead deck in a passenger ship means the uppermost deck:

1 at any point in the subdivision length \((L_s)\) to which the main bulkheads and the ship's shell are carried watertight and the lowermost deck from which passenger and crew evacuation will not be impeded by water in any stage of flooding for damage cases defined in regulation 8 and in part B-2 of this chapter, for ships subject to the provisions of regulation II-1/1.1.1.1; and

2 at any point in the subdivision length \((L_s)\) to which the main bulkheads and the ship's shell are carried watertight and the lowermost deck from which passenger and crew evacuation will not be impeded by water in any stage of flooding for damage cases defined in regulation 8 and in part B-2 of this chapter, for ships not subject to the provisions of regulation II-1/1.1.1.1 but constructed on or after 1 January 2009.

The bulkhead deck may be a stepped deck. In a cargo ship the freeboard deck may be taken as the bulkhead deck. In a cargo ship not subject to the provisions of regulation II-1/1.1.1.1 but constructed on or after 1 January 2009, the freeboard deck may be taken as the bulkhead deck."
6 The existing paragraph 26 is deleted and remaining paragraphs are renumbered respectively.

**Regulation 3-12 – Protection against noise**

7 The existing paragraph 2.1 is amended to read as follows:

".1 contracted for construction before 1 July 2014 and the keels of which are laid or which are at a similar stage of construction on or after 1 January 2009 but before 1 January 2015, or"

**PART B**

**SUBDIVISION AND STABILITY**

**Regulation 4 – General**

8 The existing paragraph 1 and the footnote to existing paragraph 1 are deleted.

9 The following new paragraphs 1 and 2 are introduced before the existing paragraph 2:

"1 Unless expressly provided otherwise, the requirements in parts B-1 to B-4 shall apply to passenger ships.

2 For cargo ships, the requirements in parts B-1 to B-4 shall apply as follows:

2.1 In part B-1:

2.1.1 Unless expressly provided otherwise, regulation 5 shall apply to cargo ships and regulation 5-1 shall apply to cargo ships other than tankers, as defined in regulation I/2(h);

2.1.2 Regulation 6 to regulation 7-3 shall apply to cargo ships having a length (L) of 80 m and upwards, but may exclude those ships subject to the following instruments and shown to comply with the subdivision and damage stability requirements of that instrument:

.1 Annex I to MARPOL, except that combination carriers (as defined in SOLAS regulation II-2/3.14) with type B freeboards shall be in compliance with regulation 6 to regulation 7-3; or

.2 the International Code for the Construction and Equipment of Ships Carrying Dangerous Chemicals in Bulk (IBC Code); or

.3 the International Code for the Construction and Equipment of Ships Carrying Liquefied Gases in Bulk (IGC Code); or
the damage stability requirements of regulation 27 of the 1966 Load Lines Convention as applied in compliance with resolutions A.320(IX) and A.514(13), provided that in the case of cargo ships to which regulation 27(9) applies, main transverse watertight bulkheads, to be considered effective, are spaced according to paragraph (12)(f) of resolution A.320(IX), except that ships intended for the carriage of deck cargo shall be in compliance with regulation 6 to regulation 7-3; or

the damage stability requirements of regulation 27 of the 1988 Load Lines Protocol, except that ships intended for the carriage of deck cargo shall be in compliance with regulation 6 to regulation 7-3; or

the subdivision and damage stability standards in other instruments “developed by the Organization.

2.2 Unless expressly provided otherwise, the requirements in parts B-2 and B-4 shall apply to cargo ships.

10 The existing paragraphs 2 to 4 are renumbered respectively.

PART B-1
STABILITY

The existing regulation 5 is amended to read as follows:

“Regulation 5 – Intact stability”

1 Every passenger ship, regardless of size and every cargo ship having a length (L) of 24 m and upwards, shall be inclined upon its completion and the elements of its stability determined. The light ship displacement and the longitudinal, transverse and vertical position of its centre of gravity shall be determined. In addition to any other applicable requirements of the present regulations, ships having a length of 24 m and upwards constructed on or after 1 July 2010 shall as a minimum comply with the requirements of part A of the 2008 IS Code.
2 The Administration may allow the inclining test of an individual cargo ship to be dispensed with provided basic stability data are available from the inclining test of a sister ship and it is shown to the satisfaction of the Administration that reliable stability information for the exempted ship can be obtained from such basic data, as required by regulation 5-1. A lightweight survey shall be carried out upon completion and the ship shall be inclined whenever in comparison with the data derived from the sister ship, a deviation from the lightship displacement exceeding 1% for ships of 160 m or more in length and 2% for ships of 50 m or less in length and as determined by linear interpolation for intermediate lengths or a deviation from the lightship longitudinal centre of gravity exceeding 0.5% of $L_L$ is found.

... 

5 At periodical intervals not exceeding five years, a lightweight survey shall be carried out on all passenger ships to verify any changes in lightship displacement and longitudinal centre of gravity. The ship shall be re-inclined whenever, in comparison with the approved stability information, a deviation from the lightship displacement exceeding 2% or a deviation of the longitudinal centre of gravity exceeding 1% of $L_L$ is found or anticipated.

_____________________

* Refer to the Code on Intact Stability for All Types of Ships covered by IMO Instruments, adopted by the Organization by resolution A.749(18), as amended. From 1 July 2010, the International Code on Intact Stability, 2008, adopted by resolution MSC.267(85), is expected to enter into force."

Regulation 5-1 – Stability information to be supplied to the master

12 The existing footnote to the title of the regulation is amended to read as follows:

"* Refer also to the Guidelines for the preparation of intact stability information (MSC/Circ.456), Guidance on the intact stability of existing tankers during transfer operations (MSC/Circ.706) and the Revised guidance to the master for avoiding dangerous situations in following and quartering seas (MSC.1/Circ.1228)."

13 The existing paragraph 2.1 is amended to read as follows:

"1 curves or tables of minimum operational metacentric height ($GM$) and maximum permissible trim versus draught which assures compliance with the relevant intact and damage stability requirements where applicable, alternatively corresponding curves or tables of the maximum allowable vertical centre of gravity ($KG$) and maximum permissible trim versus draught, or with the equivalents of either of these curves or tables;"

14 The existing paragraphs 3 and 4 are replaced with the following:

"3 The intact and damage stability information required by regulation 5-1.2 shall be presented as consolidated data and encompass the full operating range of draught and trim. Applied trim values shall coincide in all stability information intended for use on board. Information not required for determination of stability and trim limits should be excluded from this information.

https://edocs.imo.org/Final Documents/English/MSC 96-25-ADD.1 (E).docx
If the damage stability is calculated in accordance with regulation 6 to regulation 7-3 and, if applicable, with regulations 8 and 9.8, a stability limit curve is to be determined using linear interpolation between the minimum required $GM$ assumed for each of the three draughts $ds$, $dp$ and $dl$. When additional subdivision indices are calculated for different trims, a single envelope curve based on the minimum values from these calculations shall be presented. When it is intended to develop curves of maximum permissible $KG$ it shall be ensured that the resulting maximum $KG$ curves correspond with a linear variation of $GM$.

As an alternative to a single envelope curve, the calculations for additional trims may be carried out with one common $GM$ for all of the trims assumed at each subdivision draught. The lowest values of each partial index $A_s$, $A_p$ and $A_l$ across these trims shall then be used in the summation of the attained subdivision index $A$ according to regulation 7.1. This will result in one $GM$ limit curve based on the $GM$ used at each draught. A trim limit diagram showing the assumed trim range shall be developed.

The existing paragraph 5 is renumbered and amended to read as follows:

"When curves or tables of minimum operational metacentric height ($GM$) or maximum allowable $KG$ versus draught are not provided, the master should ensure that the operating condition does not deviate from a studied approved loading conditions, or verify by calculation that the stability criteria requirements are satisfied for this loading condition."

Regulation 6 – Required subdivision index $R$

In paragraph 2, the existing chapeau and paragraph 2.2 are amended to read as follows:

"For all ships to which the damage stability requirements of this chapter apply, the degree of subdivision to be provided shall be determined by the required subdivision index $R$, as follows:

\[ R = 0.000088 \times N + 0.7488 \]

In the case of cargo ships not less than 80 m in length ($L_s$) and not greater than 100 m in length ($L_s$):

\[ R = 0.0369 \times \ln (N + 89.048) + 0.579 \]

$N > 6,000$

$R = 1 - (C1 \times 6,200)/(4 \times N + 20,000)$

with: $C1 = 0.8 - (0.25 / 10,000) \times (10,000 - N)$

Where:

$N = \text{total number of persons on board}$"
The existing paragraph 2.4 is deleted.

**Regulation 7 – Attained subdivision index A**

The first sentence of the existing paragraph 1 is amended to read as follows:

"1. The attained subdivision index $A$ is obtained by the summation of the partial indices $A_s$, $A_p$, and $A_l$, calculated for the draughts $d_s$, $d_p$, and $d_l$ defined in regulation 2 in accordance with the following formula:"

The existing paragraphs 2 and 3 are amended to read as follows:

"2. As a minimum, the level trim shall be used for the deepest subdivision draught $d_s$ and the partial subdivision draught $d_p$. The actual estimated service trim may be used for the light service draught $d_l$. If, in any anticipated service condition within the draught range from $d_s$ to $d_l$, the trim variation in comparison with the calculated trim is greater than 0.5% of $L_s$, one or more additional calculations of $A$ are to be submitted for the same draughts but different including sufficient trims so to ensure that, for all intended service conditions, the difference in trim in comparison with the reference trim used for one calculation will be less not more than 0.5% of $L_s$. Each additional calculation of $A$ shall comply with regulation 6.1.

3. When determining the positive righting lever ($GZ$) of the residual stability curve in the intermediate and final equilibrium stages of flooding, the displacement used should be that of the intact loading condition. All calculations should be done with the ship freely trimming. That is, the constant-displacement method of calculation should be used."

**Regulation 7-1 – Calculation of the factor $p_i$**

In the existing paragraph 1, the text of the notation for the mean transverse distance $b$ is amended to read as follows:

"$b = \text{the mean transverse distance in metres measured at right angles to the centreline at the deepest subdivision loadline between the shell and an assumed vertical plane extended between the longitudinal limits used in calculating the factor $p_i$ and which is a tangent to, or common with, all or part of the outermost portion of the longitudinal bulkhead under consideration. This vertical plane shall be so orientated that the mean transverse distance to the shell is a maximum, but not more than twice the least distance between the plane and the shell. If the upper part of a longitudinal bulkhead is below the deepest subdivision loadline, the vertical plane used for determination of $b$ is assumed to extend upwards to the deepest subdivision waterline. In any case, $b$ is not to be taken greater than } B/2.\)"
Regulation 7-2 – Calculation of the factor $s_i$

22 The existing paragraphs 2 to 5 are amended to read as follows:

"2 For passenger ships and cargo ships fitted with cross-flooding devices the factor $s_{\text{intermediate},i}$ is applicable only to passenger ships (for cargo ships $s_{\text{intermediate},i}$ should be taken as unity) and shall be taken as the least of the $s$-factors obtained from all flooding stages including the stage before equalization, if any, and is to be calculated as follows:

$$s_{\text{intermediate},i} = \left[ \frac{GZ_{\text{max}}}{0.05} \cdot \frac{\text{Range}}{7} \right]^{1/4}$$

where $GZ_{\text{max}}$ is not to be taken as more than 0.05 m and $\text{Range}$ as not more than 7°. $s_{\text{intermediate},i} = 0$, if the intermediate heel angle exceeds 15° for passenger ships and 30° for cargo ships.

For cargo ships not fitted with cross-flooding devices the factor $s_{\text{intermediate},i}$ is taken as unity, except if the Administration considers that the stability in intermediate stages of flooding may be insufficient, it should require further investigation thereof.

For passenger and cargo ships, where cross-flooding devices are fitted fittings are required, the time for equalization shall not exceed 10 min.

3 The factor $s_{\text{final},i}$ shall be obtained from the formula:

$$s_{\text{final},i} = K \cdot \left[ \frac{GZ_{\text{max}}}{0.12} \cdot \frac{\text{Range}}{16} \right]^{1/5}$$

where:

$GZ_{\text{max}}$ is not to be taken as more than 0.12 m;

$\text{Range}$ is not to be taken as more than 16°;

$s_{\text{final},i} = K \cdot \left[ \frac{GZ_{\text{max}}}{TGZ_{\text{max}}} \cdot \frac{\text{Range}}{T\text{Range}} \right]^{1/5}$

where:

$GZ_{\text{max}}$ is not to be taken as more than $TGZ_{\text{max}}$;

$\text{Range}$ is not to be taken as more than $T\text{Range}$;

$TGZ_{\text{max}} = 0.20$ m, for ro-ro passenger ships each damage case that involves a ro-ro space,

$TGZ_{\text{max}} = 0.12$ m, otherwise;

$T\text{Range} = 20°$, for ro-ro passenger ships each damage case that involves a ro-ro space,
\textit{TRange} = 16^\circ, \text{ otherwise};

\[ K = 1 \text{ if } \theta_e \leq \theta_{\text{min}} \]

\[ K = 0 \text{ if } \theta_e \geq \theta_{\text{max}} \]

\[ K = \frac{\theta_{\text{max}} - \theta_e}{\theta_{\text{max}} - \theta_{\text{min}}} \text{ otherwise}, \]

where:

\( \theta_{\text{min}} \) is 7° for passenger ships and 25° for cargo ships; and

\( \theta_{\text{max}} \) is 15° for passenger ships and 30° for cargo ships.

4 The factor \( s_{\text{mom},i} \) is applicable only to passenger ships (for cargo ships \( s_{\text{mom},i} \) shall be taken as unity) and shall be calculated at the final equilibrium from the formula:

\[ S_{\text{mom},i} = \frac{(GZ_{\text{max}} - 0.04) \cdot \text{Displacement}}{M_{\text{heel}}} \]

where:

\text{Displacement} is the intact displacement at the subdivision respective draught \((d_s, d_p, \text{ or } d)\).

\( M_{\text{heel}} \) is the maximum assumed heeling moment as calculated in accordance with subparagraph 4.1; and

\( s_{\text{mom},i} \leq 1 \)

4.1 The heeling moment \( M_{\text{heel}} \) is to be calculated as follows:

\[ M_{\text{heel}} = \text{maximum (} M_{\text{passenger}} \text{ or } M_{\text{wind}} \text{ or } M_{\text{survivalcraft}} \text{)} \]

4.1.1 \( M_{\text{passenger}} \) is the maximum assumed heeling moment resulting from movement of passengers, and is to be obtained as follows:

\[ M_{\text{passenger}} = (0.075 \cdot N_p) \cdot (0.45 \cdot B) \text{ (tm)} \]

where:

\( N_p \) is the maximum number of passengers permitted to be on board in the service condition corresponding to the deepest subdivision draught under consideration; and

\( B \) is the beam breadth of the ship as defined in regulation 2.8.
Alternatively, the heeling moment may be calculated assuming the passengers are distributed with 4 persons per square metre on available deck areas towards one side of the ship on the decks where muster stations are located and in such a way that they produce the most adverse heeling moment. In doing so, a weight of 75 kg per passenger is to be assumed.

4.1.2 $M_{\text{wind}}$ is the maximum assumed wind force moment acting in a damage situation:

$$M_{\text{wind}} = \frac{(P \cdot A \cdot Z)}{9,806} \text{ (tm)}$$

where:

- $P = 120 \text{ N/m}^2$;
- $A =$ projected lateral area above waterline;
- $Z =$ distance from centre of lateral projected area above waterline to $T/2$; and
- $T =$ ship’s respective draught, $(d_s, d_p \text{ or } d_i)$.

5 Unsymmetrical flooding is to be kept to a minimum consistent with the efficient arrangements. Where it is necessary to correct large angles of heel, the means adopted shall, where practicable, be self-acting, but in any case where controls to equalization devices are provided they shall be operable from above the bulkhead deck of passenger ships and the freeboard deck of cargo ships. These fittings together with their controls shall be acceptable to the Administration. Suitably information concerning the use of equalization devices shall be supplied to the master of the ship.

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* Reference is made to the "Revised Recommendation on a standard method for establishing compliance with the requirements for evaluating cross-flooding arrangements in passengers ships", adopted by the Organization by resolution A.266(VIII)MSC.362(92), as may be amended.

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5.2 In all cases, the factor $s_i$ is to be taken as zero in those cases where the final waterline, taking into account sinkage, heel and trim, immerses:

---

5.3 The factor $s_i$ is to be taken as zero if, taking into account sinkage, heel and trim, any of the following occur in any intermediate stage or in the final stage of flooding:

1. immersion of any vertical escape hatch in the bulkhead deck of passenger ships and the freeboard deck of cargo ships intended for compliance with chapter II-2;
any controls intended for the operation of watertight doors, equalization devices, valves on piping or on ventilation ducts intended to maintain the integrity of watertight bulkheads from above the bulkhead deck of passenger ships and the freeboard deck of cargo ships become inaccessible or inoperable; and

immersion of any part of piping or ventilation ducts located within the assumed extent of damage and carried through a watertight boundary that is located within any compartment included in damage cases contributing to the attained index \( A \), if not fitted with watertight means of closure at each boundary, if this can lead to the progressive flooding of compartments not assumed as flooded.

5.5 Except as provided in paragraph 5.3.1, openings closed by means of watertight manhole covers and flush scuttles, small watertight hatch covers, remotely operated sliding watertight doors, sidescuttles of the non-opening type as well as watertight access doors and watertight hatch covers required to be kept closed at sea need not be considered.

Regulation 8 – Special requirements concerning passenger ship stability

The existing paragraphs 1 to 3 are amended to read as follows:

"1 A passenger ship intended to carry 400 or more persons shall have watertight subdivision abaft the collision bulkhead so that \( s_i = 1 \) for a damage involving all the compartments within 0.08\( L \) measured from the forward perpendicular for the three loading conditions used to calculate the attained \( s_i \) which is based on the calculation of the subdivision index \( A \) and for a damage involving all the compartments within 0.08\( L \) measured from the forward perpendicular. If the attained subdivision index \( A \) is calculated for different trims, this requirement must also be satisfied for those loading conditions.

2 A passenger ship intended to carry 36 or more persons is to be capable of withstanding damage along the side shell to an extent specified in paragraph 3. Compliance with this regulation is to be achieved by demonstrating that \( s_i \), as defined in regulation 7-2, is not less than 0.9 for the three loading conditions used to calculate the attained \( s_i \) which is based on the calculation of the subdivision index \( A \). If the attained subdivision index \( A \) is calculated for different trims, this requirement must also be satisfied for those loading conditions.

3 The damage extent to be assumed when demonstrating compliance with paragraph 2, is to be dependent on both \( N \) as defined in regulation 6, the total number of persons carried, and \( L_s \) as defined in regulation 2, such that:

\[
... 
\]

where 400 or more persons are to be carried, a damage length of 0.03\( L_s \), but not less than 3 m is to be assumed at any position along the side shell, in conjunction with a penetration inboard of 0.1\( B \) but not less than 0.75 m measured inboard from the ship side, at right angles to the centreline at the level of the deepest subdivision draught;
where 36 persons are carried, a damage length of \(0.015 \frac{L}{L}\) but not less than 3 m is to be assumed, in conjunction with a penetration inboard of \(0.05B\) but not less than 0.75 m; and”

Regulation 8-1 – System capabilities and operational information after a flooding casualty on passenger ships

24 In section 2, the existing text is amended to read as follows:

“A passenger ship constructed on or after 1 July 2010 shall be designed so that the systems specified in regulation II-2/21.4 remain operational when the ship is subject to flooding of any single watertight compartment.”

25 In section 3, the existing chapeau is amended to read as follows:

“For the purpose of providing operational information to the Master for safe return to port after a flooding casualty, passenger ships constructed on or after 1 January 2014 shall have:”

PART B-2
SUBDIVISION, WATERTIGHT AND WEATHERTIGHT INTEGRITY

Regulation 9 – Double bottoms in passenger ships and cargo ships other than tankers

26 The existing paragraph 3 is amended to read as follows:

“3.1 Small wells constructed in the double bottom in connection with drainage arrangements of holds, etc. shall not extend downward more than necessary. The vertical distance from the bottom of such a well to a plane coinciding with the keel line shall not be less than \(h/2\) or 500 mm, whichever is greater, or compliance with paragraph 8 of this regulation shall be shown for that part of the ship. A well extending to the outer bottom is, however, permitted at the after end of the shaft tunnel.

3.2 Other wells (e.g. for lubricating oil under main engines) may be permitted by the Administration if satisfied that the arrangements give protection equivalent to that afforded by a double bottom complying with this regulation. In no case shall the vertical distance from the bottom of such a well to a plane coinciding with the keel line be less than 500 mm.

3.2.1 For a cargo ship of 80 m in length and upwards or for a passenger ship, proof of equivalent protection is to be shown by demonstrating that the ship is capable of withstanding bottom damages as specified in paragraph 8. Alternatively, wells for lubricating oil below main engines may protrude into the double bottom below the boundary line defined by the distance \(h\) provided that the vertical distance between the well bottom and a plane coinciding with the keel line is not less than \(h/2\) or 500 mm, whichever is greater.

3.2.2 For cargo ships of less than 80 m in length the arrangements shall provide a level of safety satisfactory to the Administration.”
27 The existing paragraphs 6 to 8 are amended to read as follows:

"6  Any part of a cargo ship of 80 m in length and upwards or of a passenger ship or a cargo ship that is not fitted with a double bottom in accordance with paragraphs 1, 4 or 5, as specified in paragraph 2, shall be capable of withstanding bottom damages, as specified in paragraph 8, in that part of the ship. For cargo ships of less than 80 m in length the alternative arrangements shall provide a level of safety satisfactory to the Administration.

7  In the case of unusual bottom arrangements in a cargo ship of 80 m in length and upwards or a passenger ship or a cargo ship, it shall be demonstrated that the ship is capable of withstanding bottom damages as specified in paragraph 8. For cargo ships of less than 80 m in length the alternative arrangements shall provide a level of safety satisfactory to the Administration.

8  Compliance with paragraphs 3.1, 3.2.1, 6 or 7 is to be achieved by demonstrating that $s$, when calculated in accordance with regulation 7-2, is not less than 1 for all service conditions when subject to a bottom damage assumed at any position along the ship's bottom and with an extent specified in subparagraph .2 below for any position in the affected part of the ship:

.1 Flooding of such spaces shall not render emergency power and lighting, internal communication, signals or other emergency devices inoperable in other parts of the ship.

.2 Assumed extent of damage shall be as follows:

<table>
<thead>
<tr>
<th></th>
<th>For 0.3 L from the forward perpendicular of the ship</th>
<th>Any other part of the ship</th>
</tr>
</thead>
<tbody>
<tr>
<td>Longitudinal extent</td>
<td>$\frac{1}{3} L^{2/3}$ or 14.5 m, whichever is less</td>
<td>$\frac{1}{3} L^{2/3}$ or 14.5 m, whichever is less</td>
</tr>
<tr>
<td>Transverse extent</td>
<td>$B/6$ or 10 m, whichever is less</td>
<td>$B/6$ or 5 m, whichever is less</td>
</tr>
<tr>
<td>Vertical extent, measured from the keel line</td>
<td>$B/20$ or 2 m, whichever is less</td>
<td></td>
</tr>
<tr>
<td></td>
<td>$B/20$, to be taken not less than 0.76 m and not more than 2 m</td>
<td></td>
</tr>
</tbody>
</table>

.3 If any damage of a lesser extent than the maximum damage specified in .2 would result in a more severe condition, such damage should be considered."

Regulation 10 – Construction of watertight bulkheads

28 The existing paragraph 1 is amended to read as follows:

"1  Each watertight subdivision bulkhead, whether transverse or longitudinal, shall be constructed having scantlings as specified in regulation 2.17. In all cases, watertight subdivision bulkheads shall be capable of supporting at least the pressure due to a head of water up to the bulkhead deck in passenger ships and freeboard deck in cargo ships."
Regulation 12 – Peak and machinery space bulkheads, shaft tunnels, etc.

29 The existing paragraph 1 is amended to read as follows:

"1 A collision bulkhead shall be fitted which shall be watertight up to the bulkhead deck in passenger ships and freeboard deck in cargo ships. This bulkhead shall be located at a distance from the forward perpendicular of not less than 0.05L or 10 m, whichever is the less, and, except as may be permitted by the Administration, not more than 0.08L or 0.05L + 3 m, whichever is the greater."

30 The following new paragraph 2 is introduced after the existing paragraph 1:

"2 The ship shall be so designed that calculated in accordance with regulation 7-2 will not be less than 1 at the deepest subdivision draught loading condition, level trim or any forward trim loading conditions, if any part of the ship forward of the collision bulkhead is flooded without vertical limits."

31 The remaining paragraphs are renumbered and amended to read as follows:

"23 Where any part of the ship below the waterline extends forward of the forward perpendicular, e.g. a bulbous bow, the distances stipulated in paragraph 1 shall be measured from a point either:

.1 at the mid-length of such extension;
.2 at a distance 0.015L forward of the forward perpendicular; or
.3 at a distance 3 m forward of the forward perpendicular,

whichever gives the smallest measurement.

34 The bulkhead may have steps or recesses provided they are within the limits prescribed in paragraph 1 or 32.

45 No doors, manholes, access openings, ventilation ducts or any other openings shall be fitted in the collision bulkhead below the bulkhead deck in passenger ships and freeboard deck in cargo ships.

56.1 Except as provided in paragraph 65.2, the collision bulkhead may be pierced below the bulkhead deck in passenger ships and freeboard deck in cargo ships by not more than one pipe for dealing with fluid in the forepeak tank, provided that the pipe is fitted with a screw-down valve capable of being operated from above the bulkhead deck in passenger ships and freeboard deck in cargo ships, the valve chest being secured inside the forepeak at the collision bulkhead. The Administration may, however, authorize the fitting of this valve on the after side of the collision bulkhead provided that the valve is readily accessible under all service conditions and the space in which it is located is not a cargo space. Alternatively, for cargo ships, the pipe may be fitted with a butterfly valve suitably supported by a seat or flanges and capable of being operated from above the freeboard deck. All valves shall be of steel, bronze or other approved ductile material. Valves of ordinary cast iron or similar material are not acceptable.
56.2 If the forepeak is divided to hold two different kinds of liquids the Administration may allow the collision bulkhead to be pierced below the bulkhead deck in passenger ships and freeboard deck in cargo ships by two pipes, each of which is fitted as required by paragraph 65.1, provided the Administration is satisfied that there is no practical alternative to the fitting of such a second pipe and that, having regard to the additional subdivision provided in the forepeak, the safety of the ship is maintained.

67 Where a long forward superstructure is fitted, the collision bulkhead shall be extended weathertight to the deck next above the bulkhead deck in passenger ships and freeboard deck in cargo ships. The extension need not be fitted directly above the bulkhead below provided it is that all parts of the extension, including any part of the ramp attached to it are located within the limits prescribed in paragraph 1 or 32, with the exception permitted by paragraph 87 and that the part of the deck which forms the step is made effectively weathertight. The extension shall be so arranged as to preclude the possibility of the bow door or ramp, where fitted, causing damage to it in the case of damage to, or detachment of, a bow door or any part of the ramp.

78 Where bow doors are fitted and a sloping loading ramp forms part of the extension of the collision bulkhead above the bulkhead deck in passenger ships and freeboard deck in cargo ships, the ramp shall be weathertight over its complete length. In cargo ships the part of the ramp which is more than 2.3 m above the bulkheadfreeboard deck may extend forward of the limit specified in paragraph 1 or 23. Ramps not meeting the above requirements shall be disregarded as an extension of the collision bulkhead.

89 The number of openings in the extension of the collision bulkhead above the freeboard deck shall be restricted to the minimum compatible with the design and normal operation of the ship. All such openings shall be capable of being closed weathertight.

910 Bulkheads shall be fitted separating the machinery space from cargo and accommodation spaces forward and aft and made watertight up to the bulkhead deck in passenger ships and freeboard deck in cargo ships. In passenger ships an afterpeak bulkhead shall also be fitted and made watertight up to the bulkhead deck or the freeboard deck. The afterpeak bulkhead may, however, be stepped below the bulkhead deck or the freeboard deck, provided the degree of safety of the ship as regards subdivision is not thereby diminished.

1011 In all cases stern tubes shall be enclosed in watertight spaces of moderate volume. In passenger ships the stern gland shall be situated in a watertight shaft tunnel or other watertight space separate from the stern tube compartment and of such volume that, if flooded by leakage through the stern gland, the bulkhead deck will not be immersed. In cargo ships other measures to minimize the danger of water penetrating into the ship in case of damage to stern tube arrangements may be taken at the discretion of the Administration.
Regulation 13 – Openings in watertight bulkheads below the bulkhead deck in passenger ships

32 The existing paragraph 11.1 is amended to read as follows:

"11.1 Where trunkways or tunnels for access from crew accommodation to the stokehold/machinery spaces, for piping, or for any other purpose are carried through watertight bulkheads, they shall be watertight and in accordance with the requirements of regulation 16-1. The access to at least one end of each such tunnel or trunkway, if used as a passage at sea, shall be through a trunk extending watertight to a height sufficient to permit access above the bulkhead deck. The access to the other end of the trunkway or tunnel may be through a watertight door of the type required by its location in the ship. Such trunkways or tunnels shall not extend through the first subdivision bulkhead abaft the collision bulkhead."

Regulation 15 – Openings in the shell plating below the bulkhead deck of passenger ships and the freeboard deck of cargo ships

33 The existing paragraphs 4, 5.1, 8.2.1 and 8.4 are amended to read as follows:

"4 Efficient hinged inside deadlights so arranged that they can be easily and effectively closed and secured watertight, shall be fitted to all sidescuttles except that abaft one eighth of the ship's length from the forward perpendicular and above a line drawn parallel to the bulkhead deck at side and having its lowest point at a height of 3.7 m plus 2.5% of the breadth of the ship above the deepest subdivision draught, the deadlights may be portable in passenger accommodation other than that for steerage passengers, unless the deadlights are required by the International Convention on Load Lines in force to be permanently attached in their proper positions. Such portable deadlights shall be stowed adjacent to the sidescuttles they serve.

…

5.1 No sidescuttles shall be fitted in any spaces which are appropriated exclusively to the carriage of cargo or coal.

…

8.2.1 Subject to the requirements of the International Convention on Load Lines in force, and except as provided in paragraph 8.3, each separate discharge led through the shell plating from spaces below the bulkhead deck of passenger ships and the freeboard deck of cargo ships shall be provided with either one automatic non-return valve fitted with a positive means of closing it from above the bulkhead deck of passenger ships and the freeboard deck of cargo ships or with two automatic non-return valves without positive means of closing, provided that the inboard valve is situated above the deepest subdivision draught and is always accessible for examination under service conditions. Where a valve with positive means of closing is fitted, the operating position above the bulkhead deck of passenger ships and the freeboard deck of cargo ships shall always be readily accessible and means shall be provided for indicating whether the valve is open or closed.

…
8.4 Moving parts penetrating the shell plating below the deepest subdivision draught shall be fitted with a watertight sealing arrangement acceptable to the Administration. The inboard gland shall be located within a watertight space of such volume that, if flooded, the bulkhead deck in passenger ships and freeboard deck in cargo ships will not be submerged. The Administration may require that if such compartment is flooded, essential or emergency power and lighting, internal communication, signals or other emergency devices must remain available in other parts of the ship.

Regulation 16 – Construction and initial tests of watertight doors, sidescuttles, etc.

34 The title of the regulation is amended to read as follows:

"Regulation 16 – Construction and initial tests of watertight closures, sidescuttles, etc."

35 The existing paragraphs 1 and 2 are amended to read as follows:

"1 In all ships:

1.1 The design, materials and construction of all watertight closures such as doors, hatches, sidescuttles, gangway and cargo ports, valves, pipes, ash-chutes and rubbish-chutes referred to in these regulations shall be to the satisfaction of the Administration;

1.2 Such valves, doors, hatches, and mechanisms shall be suitably marked to ensure that they may be properly used to provide maximum safety; and

1.3 The frames of vertical watertight doors shall have no groove at the bottom in which dirt might lodge and prevent the door closing properly.

2 In passenger ships and cargo ships Watertight doors and hatches shall be tested by water pressure to the maximum head of water they might sustain in a final or intermediate stage of flooding. For cargo ships not covered by damage stability requirements, watertight doors and hatches shall be tested by water pressure to a head of water measured from the lower edge of the opening to one metre above the freeboard deck. Where testing of individual doors and hatches is not carried out because of possible damage to insulation or outfitting items, testing of individual doors and hatches may be replaced by a prototype pressure test of each type and size of door or hatch with a test pressure corresponding at least to the head required for the individual location. The prototype test shall be carried out before the door or hatch is fitted. The installation method and procedure for fitting the door or hatch on board shall correspond to that of the prototype test. When fitted on board, each door or hatch shall be checked for proper seating between the bulkhead, the frame and the door or between deck, the coaming and the hatch."

https://edocs.imo.org/Final Documents/English/MSC 96-25-ADD.1 (E).docx
Regulation 16-1 – Construction and initial tests of watertight decks, trunks, etc.

36 The existing paragraphs 2 and 3 are amended to read as follows:

"2 In passenger ships, wherever a ventilation trunk passing through a structure penetrates a watertight area of the bulkhead deck, the trunk shall be capable of withstanding the water pressure that may be present within the trunk, after having taken into account the maximum heel angle allowable during intermediate stages of flooding, in accordance with regulation 7-2.

3 In ro-ro passenger ships, wherever all or part of the penetration of the bulkhead deck is on the main ro-ro deck, the trunk shall be capable of withstanding impact pressure due to internal water motions (sloshing) of water trapped on the ro-ro deck."

Regulation 17 – Internal watertight integrity of passenger ships above the bulkhead deck

37 The existing paragraph 3 is amended to read as follows:

"3 The open end of air pipes terminating within a superstructure which are not fitted with watertight means of closure shall be considered as unprotected openings when applying regulation 7-2.6.1.1. shall be at least 1 m above the waterline when the ship heels to an angle of 15º, or the maximum angle of heel during intermediate stages of flooding, as determined by direct calculation, whichever is the greater. Alternatively, air pipes from tanks other than oil tanks may discharge through the side of the superstructure. The provisions of this paragraph are without prejudice to the provisions of the International Convention on Load Lines in force."

PART B-4
STABILITY MANAGEMENT

Regulation 19 – Damage control information

38 The existing paragraph 2 is deleted and remaining paragraphs are renumbered accordingly.

39 The following new regulation 19-1 is introduced after the existing regulation 19:

"Regulation 19-1 – Damage control drills for passenger ships

1 This regulation applies to passenger ships constructed before, on or after 1 January 2020.

2 A damage control drill shall take place at least every three months. The entire crew need not participate in every drill, but only those crew members with damage control responsibilities.

3 The damage control drill scenarios shall vary each drill so that emergency conditions are simulated for different damage conditions and shall, as far as practicable, be conducted as if there were an actual emergency."
4 Each damage control drill shall include:

.1 for crew members with damage control responsibilities, reporting to stations and preparing for the duties described in the muster list required by regulation III/8;

.2 use of the damage control information and the onboard damage stability computer, if fitted, to conduct stability assessments for the simulated damage conditions;

.3 establishment of the communications link between the ship and shore-based support, if provided;

.4 operation of watertight doors and other watertight closures;

.5 demonstrating proficiency in the use of the flooding detection system, if fitted, in accordance with muster list duties;

.6 demonstrating proficiency in the use of cross-flooding and equalization systems, if fitted, in accordance with muster list duties;

.7 operation of bilge pumps and checking of bilge alarms and automatic bilge pump starting systems; and

.8 instruction in damage survey and use of the ship's damage control systems.

5 At least one damage control drill each year shall include activation of the shore-based support, if provided in compliance with regulation II-1/8-1.3, to conduct stability assessments for the simulated damage conditions.

6 Every crew member with assigned damage control responsibilities shall be familiarized with their duties and about the damage control information before the voyage begins.

7 A record of each damage control drill shall be maintained in the same manner as prescribed for the other drills in regulation III/19.5.

40 The existing title and paragraph 1 of regulation 20 are amended to read as follows:

"Regulation 20 – Loading of passenger ships

1 On completion of loading of the ship and prior to its departure, the master shall determine the ship's trim and stability and also ascertain and record that the ship is upright and in compliance with stability criteria in relevant regulations. The determination of the ship's stability shall always be made by calculation or by ensuring that the ship is loaded according to one of the pre-calculated loading conditions within the approved stability information. The Administration may accept the use of an electronic loading and stability computer or equivalent means for this purpose."
Regulation 21 – Periodical operation and inspection of watertight doors, etc. in passenger ships

41 The text of the existing paragraph 1 is amended to read as follows:

"Drills for the operating [Operational tests] of watertight doors, sidescuttles, valves and closing mechanisms of scuppers, ash-chutes and rubbish-chutes shall take place weekly. In ships in which the voyage exceeds one week in duration a complete set of operational tests shall be held before leaving port the voyage commences, and others thereafter at least once a week during the voyage."

42 The text of the existing paragraph 4 is amended to read as follows:

"A record of all [drills, operational tests] and inspections required by this regulation shall be entered in the logbook with an explicit record of any defects which may be disclosed."

Regulation 22 – Prevention and control of water ingress, etc.

43 In the existing paragraph 1, the words "and 4" are removed from the end of the first sentence.

44 The existing paragraph 2 is amended to read as follows:

"2 Watertight doors located below the bulkhead deck in passenger ships and freeboard deck in cargo ships having a maximum clear opening width of more than 1.2 m shall be kept closed when the ship is at sea, except for limited periods when absolutely necessary as determined by the Administration."

45 The new footnote to existing paragraph 3 is added as follows:

"3 A watertight door may be opened during navigation to permit the passage of passengers or crew, or when work in the immediate vicinity of the door necessitates it being opened. The door must be immediately closed when transit through the door is complete or when the task which necessitated it being open is finished."

* Refer to the Guidance for watertight doors on passenger ships which may be opened during navigation (MSC.1/Circ.[…])."

46 The existing paragraph 4 is deleted and the subsequent paragraphs are renumbered accordingly.

47 The existing paragraphs 5 to 7 are amended to read as follows:

"5 Portable plates on bulkheads shall always be in place before the ship leaves port, voyage commences, and shall not be removed during navigation except in case of urgent necessity at the discretion of the master. The necessary precautions shall be taken in replacing them to ensure that the joints are watertight. Power-operated sliding watertight doors permitted in machinery spaces in accordance with regulation 13.10 shall be closed before the ship leaves port, voyage commences and shall remain closed during navigation except in case of urgent necessity at the discretion of the master."
Watertight doors fitted in watertight bulkheads dividing cargo between deck spaces in accordance with regulation 13.9.1 shall be closed before the voyage commences and shall be kept closed during navigation. The time of opening such doors in port are opened or closed and of closing them before the ship leaves port shall be entered in the log-book.

Gangway, cargo and fuelling ports fitted below the bulkhead deck in passenger ships and freeboard deck in cargo ships shall be effectively closed and secured watertight before the ship leaves port, and shall be kept closed during navigation.

In paragraph 8, the existing chapeau is amended to read as follows:

"8 The following doors, located above the bulkhead deck in passenger ships and freeboard deck in cargo ships, shall be closed and locked before the ship proceeds on any voyage and shall remain closed and locked until the ship is at its next berth:"

The existing paragraph 14 is amended to read as follows:

"14 Where in a between-deck, the sills of any of the sidescuttles referred to in regulation 15.3.2 are below a line drawn parallel to the bulkhead deck at side in passenger ships and freeboard deck at side in cargo ships, and having its lowest point 1.4 m plus 2.5% of the breadth of the ship above the water when the ship departs from any port, all the sidescuttles in that between-decks shall be closed watertight and locked before the ship leaves port, and they shall not be opened before the ship arrives at the next port. In the application of this paragraph the appropriate allowance for fresh water may be made when applicable.

.1 The time of opening such sidescuttles in port and of closing and locking them before the ship leaves port shall be entered in such log-book as may be prescribed by the Administration.

.2 For any ship that has one or more sidescuttles so placed that the requirements of paragraph 14 would apply when it was floating at its deepest subdivision draught, the Administration may indicate the limiting mean draught at which these sidescuttles will have their sills above the line drawn parallel to the bulkhead deck at side in passenger ships and freeboard deck at side in cargo ships, and having its lowest point 1.4 m plus 2.5% of the breadth of the ship above the waterline corresponding to the limiting mean draught, and at which it will therefore be permissible to depart from port without previously closing and locking them and to open them at sea on the responsibility of the master during the voyage to the next port. In tropical zones as defined in the International Convention on Load Lines in force, this limiting draught may be increased by 0.3 m."

In regulation 22-1, the words "constructed on or after 1 July 2010" are removed from the end of the existing title.
In regulation 24, the existing title and paragraph 3 are amended to read as follows:

"Regulation 24 – Additional requirements for prevention and control of water ingress, etc. in cargo ships

...\n
3 Watertight doors or ramps fitted to internally subdivide large cargo spaces shall be closed before the voyage commences and shall be kept closed during navigation. The time of opening such doors in port are opened or closed and of closing them before the ship leaves port shall be entered in the log-book."

PART C
MACHINERY INSTALLATIONS

Regulation 35-1 – Bilge pumping arrangements

The following new sentence is added at the end of the existing paragraph 2.6:

"For ships subject to the provisions of regulation II-1/1.1.1.1, for the special hazards associated with loss of stability when fitted with fixed pressure water-spraying fire-extinguishing systems see II-2/20.6.1.4."

In paragraph 3.2, the existing text of the whole volume of the passenger and crew spaces below the bulkhead deck \( P \) is amended to read as follows:

\[ P = \text{the whole volume of the passenger and crew spaces below the bulkhead deck (cubic metres), which are provided for the accommodation and use of passengers and crew, excluding baggage, store, and provision and mail rooms,} \]

In paragraph 3.4, the existing chapeau is amended to read as follows:

"3.4 On a ship of 91.5 m in length \( L \) and upwards or having a bilge pump numeral, calculated in accordance with paragraph 3.2, of 30 or more, the arrangements shall be such that at least one power bilge pump shall be available for use in all flooding conditions which the ship is required to withstand, and, for ships subject to the provisions of regulation II-1/1.1.1.1, in all flooding conditions derived from consideration of minor damages as specified in regulation 8 which the ship is required to withstand as follows:"

The following new sentence is added at the end of the existing paragraph 3.10:

"For ships subject to the provisions of regulation II-1/1.1.1.1, the deepest subdivision load line shall be taken as the deepest subdivision draught."
ANNEX 17

RESOLUTION MSC.408(96)
(adopted on 13 May 2016)

AMENDMENTS TO CHAPTER 2 OF THE CODE OF SAFETY FOR SPECIAL PURPOSE SHIPS, 2008 (2008 SPS CODE)

THE MARITIME SAFETY COMMITTEE,

RECALLING Article 28(b) of the Convention on the International Maritime Organization concerning the functions of the Committee,

RECALLING ALSO resolution MSC.266(84), by which it adopted the Code of Safety for Special Purpose Ships, 2008 (2008 SPS Code),

NOTING the need to amend respective provisions of the Code,

HAVING CONSIDERED, at its ninety-sixth session, amendments to chapter 2 of the 2008 SPS Code proposed by the Sub-Committee on Ship Design and Construction, at its third session,

1 ADOPTS amendments to the Code of Safety for Special Purpose Ships, 2008, the text of which is set out in the annex to the present resolution;

2 DETERMINES that the said amendments should become effective on 13 May 2016.
ANNEX

AMENDMENTS TO CHAPTER 2 OF THE CODE OF SAFETY FOR SPECIAL PURPOSE SHIPS, 2008 (2008 SPS CODE)

Chapter 2
Stability and subdivision

1. The existing paragraph 2.2 is replaced by the following:

"2.2 The subdivision and damage stability of special purpose ships should in general be in accordance with SOLAS chapter II-1 where the ship is considered a passenger ship, and special personnel are considered passengers, with an \( R \)-value calculated as follows:

.1 where the ship is certified to carry 240 persons or more, the \( R \)-value is assigned as \( R \); 
.2 where the ship is certified to carry not more than 60 persons, the \( R \)-value is assigned as \( 0.8R \); and 
.3 for more than 60 (but not more than 240) persons, the \( R \)-value should be determined by linear interpolation between the \( R \)-values given in .1 and .2 above.

Where:

\[
R = 1 - \frac{5,000}{L_s + 2.5N + 15,225} 
\]

\( N = N_1 + 2N_2 \)

\( N_1 \) = number of persons for whom lifeboats are provided

\( N_2 \) = number of persons (including officers and crew) the ship is permitted to carry in excess of \( N_1 \)

2. The following new paragraph 2.3 is added after the amended paragraph 2.2 and the existing paragraphs 2.3 to 2.5 are renumbered accordingly:

"2.3 Where the conditions of service are such that compliance with paragraph 2.2 above on the basis of \( N = N_1 + 2N_2 \) is impracticable and where the Administration considers that a suitably reduced degree of hazard exists, a lesser value of \( N \) may be taken but in no case less than \( N = N_1 + N_2 \)."

***
ANNEX 18

DRAFT AMENDMENTS TO THE FSS CODE

CHAPTER 13
ARRANGEMENT OF MEANS OF ESCAPE

In paragraph 2.1.2.2.1.2, under case 2, the words "members of the crew in public spaces occupied to one third of the maximum capacity" are replaced with the words "one third of the crew distributed in public spaces".

***
ANNEX 19

DRAFT AMENDMENTS TO SOLAS CHAPTER III

PART A
GENERAL

Regulation 1 – Application
1 The following new paragraph 4.3 is added after the existing paragraph 4.2:
   "3 ensure that the requirements of regulations 30.3 and 37.3.9 are complied with."

PART B
REQUIREMENTS FOR SHIPS AND LIFE-SAVING APPLIANCES

Regulation 30 – Drills
2 The following new paragraph 3 is added after the existing paragraph 2:
   "3 Damage control drills shall be conducted as required in regulation II-1/19-1."

Regulation 37 – Muster list and emergency instructions
3 The following new paragraph 3.9 is added after the existing paragraph 3.8:
   "9 for passenger ships only, damage control for flooding emergencies."

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ANNEX 20

DRAFT AMENDMENTS TO THE 2011 ESP CODE

THE INTERNATIONAL CODE ON THE ENHANCED PROGRAMME OF INSPECTIONS DURING SURVEYS OF BULK CARRIERS AND OIL TANKERS, 2011
(2011 ESP CODE)

ANNEX A

CODE ON THE ENHANCED PROGRAMME OF INSPECTIONS DURING SURVEYS OF BULK CARRIERS

Part A

CODE ON THE ENHANCED PROGRAMME OF INSPECTIONS DURING SURVEYS OF BULK CARRIERS HAVING SINGLE-SIDE SKIN CONSTRUCTION

1 Paragraph 1.5 is amended as follows:

"1.5 In any kind of survey, i.e. renewal, intermediate, annual or other surveys having the scope of the foregoing ones, for structures in areas where close-up surveys are required, thickness measurements, when required by annex 2, of structures in areas where close-up surveys are required should be carried out simultaneously with close-up surveys."

2 Paragraph 2.4.4 is amended as follows:

"2.4.4 Close up survey and thickness measurement of the hatch cover and coaming plating and stiffeners should be carried out as given in annexes 1 and annex 2.

3 Subject to cargo hold hatch covers of approved design which structurally have no access to the internals, close-up survey/thickness measurement shall be done of accessible parts of hatch covers structures."

ANNEX 1

REQUIREMENTS FOR CLOSE-UP SURVEY AT RENEWAL SURVEYS

3 Note (D) is amended as follows:

“(D) Cargo hold hatch covers and coamings. Subject to cargo hold hatch covers of approved design which structurally have no access to the internals, close-up survey/thickness measurement shall be done of accessible parts of hatch covers structures.”

* Tracked changes are created using "strikeout" for deleted text and "grey shading" to highlight all modifications and new insertions, including deleted text.
Part B

CODE ON THE ENHANCED PROGRAMME OF INSPECTIONS DURING SURVEYS OF BULK CARRIERS HAVING DOUBLE-SIDE SKIN CONSTRUCTION

4 Paragraph 1.5 is amended as follows:

"1.5 In any kind of survey, i.e. renewal, intermediate, annual or other surveys having the scope of the foregoing ones, for structures in areas where close-up surveys are required, thickness measurements, when required by annex 2, of structures in areas where close-up surveys are required should be carried out simultaneously with close-up surveys."

5 Paragraph 2.4.4 is amended as follows:

"2.4.4 Close up survey and thickness measurement. Thickness measurement of the hatch cover and coaming plating and stiffeners should be carried out as given in annexes 1 and annex 2.

3 Subject to cargo hold hatch covers of approved design which structurally have no access to the internals, close-up survey/thickness measurement shall be done of accessible parts of hatch covers structures."

ANNEX 1

REQUIREMENTS FOR CLOSE-UP SURVEY AT RENEWAL SURVEYS

Appendix 1 – Minimum requirements for close-up survey at renewal survey of double-side skin bulk carriers excluding ore carriers

5 < Age ≤ 10 years – Renewal Survey No.2

6 The third paragraph in the column is amended as follows:

"25% of ordinary transverse web-frames for transverse framing system or 25% of longitudinals for longitudinal framing system on side shell and inner side plating at forward, middle and aft parts in the foremost double-side tanks. (B)"

10 < Age ≤ 15 years – Renewal Survey No.3

7 The third paragraph in the column is amended as follows:

"25% of ordinary transverse web-frames for transverse framing system or 25% of longitudinals for longitudinal framing system on side shell and inner side plating at forward, middle and aft parts in all double-side tanks. (B)"
Age > 15 years – Renewal Survey No.4 and Subsequent

8 The third paragraph in the column is amended as follows:

"All ordinary transverse frames for transverse framing system or all of longitudinals for longitudinal framing system on side shell and inner side plating at forward, middle and aft parts in all double-side tanks. (B)"

9 Note (D) is amended as follows:

"(D) Cargo hold hatch covers and coamings. Subject to cargo hold hatch covers of approved design which structurally have no access to the internals, close-up survey/thickness measurement shall be done of accessible parts of hatch covers structures."

Appendix 2 – Minimum requirements for close-up survey at renewal survey for ore carriers

10 Note (D) is amended as follows:

"(D) Cargo hold hatch covers and coamings. Subject to cargo hold hatch covers of approved design which structurally have no access to the internals, close-up survey/thickness measurement shall be done of accessible parts of hatch covers structures."

ANNEX 2

REQUIREMENTS FOR THICKNESS MEASUREMENTS AT RENEWAL SURVEYS

5 < Age ≤ 10 years – Renewal Survey No.2

11 Paragraph 3 is amended as follows:

"3 Measurement, for general assessment and recording of corrosion pattern, of those structural members subject to close-up survey according to annex 1/appendix 1 or annex 1/appendix 2 as applicable."

10 < Age ≤ 15 years – Renewal Survey No.3

12 Paragraph 3 is amended as follows:

"3 Measurement, for general assessment and recording of corrosion pattern, of those structural members subject to close-up survey according to annex 1/appendix 1 or annex 1/appendix 2 as applicable."
ANNEX B

CODE ON THE ENHANCED PROGRAMME OF INSPECTIONS DURING SURVEYS OF OIL TANKERS

Part A

CODE ON THE ENHANCED PROGRAMME OF INSPECTIONS DURING SURVEYS OF DOUBLE-HULL OIL TANKERS

13 Paragraph 1.5 is amended as follows:

"1.5 In any kind of survey, i.e. renewal, intermediate, annual or other surveys having the scope of the foregoing ones, for structures in areas where close-up surveys are required, thickness measurements, when required by annex 2, for structures in areas where close-up surveys are required should be carried out simultaneously with close-up surveys."

14 Paragraph 2.5.6 is amended as follows:

"2.5.6 In cases where two or three sections are to be measured, at least one should include a ballast tank within 0.5L amidships. In case of oil tankers of 130 m in length and upwards (as defined in the International Convention on Load Lines in force) and more than 10 years of age, for the evaluation of the ship's longitudinal strength as required in 8.1.2, the sampling method of thickness measurements is given in annex 12."

15 Paragraph 2.6.1.1 is amended as follows:

"2.6.1.1 A tank testing procedure, specifying fill heights, tanks being filled and bulkheads being tested, has been submitted by the owner and reviewed by the Administration or recognized organization prior to the testing being carried out;"

ANNEX 1

MINIMUM REQUIREMENTS FOR CLOSE-UP SURVEY AT RENEWAL SURVEY OF DOUBLE-HULL OIL TANKERS

16 Note (7) is amended as follows:

"7) Web frame in a cargo oil tank means deck transverse, longitudinal bulkhead, vertical girder structural elements and cross ties, where fitted, including adjacent structural members."
Part B

CODE ON THE ENHANCED PROGRAMME OF INSPECTIONS DURING SURVEYS OF OIL TANKERS OTHER THAN DOUBLE-HULL OIL TANKERS

17 Paragraph 1.5 is amended as follows:

"1.5 In any kind of survey, i.e. renewal, intermediate, annual or other surveys having the scope of the foregoing ones, for structures in areas where close-up surveys are required, thickness measurements, when required by annex 2, of structures in areas where close-up surveys are required should be carried out simultaneously with close-up surveys."

18 Paragraph 2.6.1.1 is amended as follows:

"2.6.1.1 tank testing procedure, specifying fill heights, tanks being filled and bulkheads being tested, has been submitted by the owner and reviewed by the Administration or recognized organization prior to the testing being carried out;"

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ANNEX 21

DRAFT MSC-MEPC.5 CIRCULAR

UNIFIED INTERPRETATION RELATING TO THE IBC CODE

1 The Maritime Safety Committee, at its ninety-sixth session (11 to 20 May 2016), and
the Marine Environment Protection Committee, at its [seventieth session
(24 to 28 October 2016)], in order to facilitate global and consistent implementation of survival
requirements of the IBC Code, approved Unified interpretation relating to the IBC Code, prepared
by the Sub-Committee on Ship Design and Construction, at its third session (18 to 22 January 2016),
as set out in the annex.

2 Member States are invited to apply the annexed unified interpretation and to bring it
to the attention of all parties concerned.
2.9 Survival requirements

Other openings capable of being closed weathertight do not include ventilators (complying with regulation 19(4) of the International Convention on Load Lines, 1966) that for operational reasons have to remain open to supply air to the engine room or emergency generator room (if the same is considered buoyant in the stability calculation or protecting openings leading below) for the effective operation of the ship.

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ANNEX 22

DRAFT ASSEMBLY RESOLUTION

Adopted on […]

REVISED GUIDELINES ON THE IMPLEMENTATION OF THE INTERNATIONAL SAFETY MANAGEMENT (ISM) CODE BY ADMINISTRATIONS

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 resolution A.741(18) by which it adopted the International Management Code for the Safe Operation of Ships and for Pollution Prevention (International Safety Management (ISM) Code),

RECALLING FURTHER resolution A.788(19) by which it adopted the Guidelines on implementation of the International Safety Management (ISM) Code by Administrations,

NOTING that the ISM Code became mandatory, under the provisions of chapter IX of the International Convention for the Safety of Life at Sea (SOLAS), 1974, as amended, for companies operating certain types of ships, on 1 July 1998; and for companies operating other cargo ships and mobile offshore drilling units propelled by mechanical means of 500 gross tonnage and upwards, on 1 July 2002,

NOTING ALSO that the Maritime Safety Committee, at its ninety-second session, adopted, by resolution MSC.353(92), amendments to the ISM Code,

NOTING FURTHER resolution A.1071(28) by which it adopted the Revised guidelines on implementation of the International Safety Management (ISM) Code by Administrations,

RECOGNIZING that an Administration, in establishing that safety standards are being maintained, has a responsibility to ensure that Documents of Compliance and Safety Management Certificates have been issued in accordance with the ISM Code taking into account the aforementioned Guidelines,

RECOGNIZING ALSO that there may be a need for Administrations to enter into agreements in respect of the issue of certificates by other Administrations in compliance with chapter IX of the 1974 SOLAS Convention and in accordance with resolution A.741(18),

RECOGNIZING FURTHER the need for uniform implementation of the ISM Code,

HAVING CONSIDERED the recommendations made by the Marine Environment Protection Committee, at its […] session, and the Maritime Safety Committee, at its […] session,

1 ADOPTS the Revised guidelines on implementation of the International Safety Management (ISM) Code by Administrations, as set out in the annex to the present resolution;

2 URGES Governments, when implementing the ISM Code, to adhere to the Revised guidelines;
3 REQUESTS Governments to inform the Organization of any difficulties they may experience when using the Revised guidelines;

4 AUTHORIZES the Maritime Safety Committee and the Marine Environment Protection Committee to keep the Revised guidelines under review and to amend or revise them as necessary in accordance with the rules and procedures of the Committees and issue it as an MSC/MEPC circular;

5 REVOKES resolution 1071(28).
ANNEX

REVISED GUIDELINES ON THE IMPLEMENTATION OF THE INTERNATIONAL SAFETY MANAGEMENT (ISM) CODE BY ADMINISTRATIONS

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1 Tracked changes are created using "strikeout" for deleted text and "grey shading" to highlight all modifications and new insertions, including deleted text.

https://edocs.imo.org/Final Documents/English/MSC 96-25-ADD.1 (E).docx
Appendix – STANDARDS ON ISM CODE CERTIFICATION ARRANGEMENTS

1 INTRODUCTION

2 STANDARD OF MANAGEMENT

3 STANDARDS OF COMPETENCE

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4 QUALIFICATION ARRANGEMENTS

5 CERTIFICATION PROCEDURES AND INSTRUCTIONS
1  INTRODUCTION

1.1  The ISM Code

1.1.1  The *International Management Code for the Safe Operation of Ships and for Pollution Prevention (International Safety Management (ISM) Code)* was adopted by the Organization by resolution A.741(18) and became mandatory by virtue of the entry into force, on 1 July 1998, of SOLAS chapter IX on Management for the Safe Operation of Ships. The ISM Code provides an international standard for the safe management and operation of ships and for pollution prevention.

1.1.2  The Maritime Safety Committee, at its ninety-second session held in June 2013, adopted amendments to sections 3, 6, 12 and 14 and footnotes of the ISM Code by resolution MSC.353(92). As a result it was necessary to revise the *Guidelines on the implementation of the ISM Code by Administrations* (resolution A.1022(26)), which are superseded by these *Revised Guidelines*.

1.1.3  The ISM Code requires that companies establish safety objectives as described in section 1.2 (Objectives) of the ISM Code and, in addition, that companies develop, implement and maintain a safety management system which includes functional requirements as listed in the Code's section 1.4 (Functional requirements for a safety management system).

1.1.4  The application of the ISM Code should support and encourage the development of a safety culture in shipping. Success factors for the development of a culture that promotes safety and environmental protection are, inter alia, commitment, values, beliefs and clarity of the safety management system.

1.2  Mandatory application of the ISM Code

1.2.1  The appropriate organization of management, ashore and on board, is needed to ensure adequate standards of safety and pollution prevention. A systematic approach to management by those responsible for management of ships is therefore required. The objectives of the mandatory application of the ISM Code are to ensure:

   1. compliance with mandatory rules and regulations related to the safe operation of ships and protection of the environment; and

   2. the effective implementation and enforcement thereof by Administrations.

1.2.2  Effective enforcement by Administrations must include verification that the safety management system complies with the requirements as stipulated in the ISM Code, as well as verification of compliance with mandatory rules and regulations.

1.2.3  The mandatory application of the ISM Code should ensure, support and encourage that applicable codes, guidelines and standards recommended by the Organization, Administrations, classification societies and maritime industry organizations are taken into account.

1.3  Verification and certification responsibilities

1.3.1  The Administration is responsible for verifying compliance with the requirements of the ISM Code and for issuing Documents of Compliance to companies and Safety Management Certificates to ships.
1.3.2 The Guidelines for the authorization of organizations acting on behalf of the Administration (resolution A.739(18)) and the Specifications on the survey and certification functions of recognized organizations acting on behalf of the Administration (resolution A.789(19)), which have been made mandatory by virtue of SOLAS regulation XI/1, and the Guidelines to assist flag States in the implementation of IMO instruments (resolution A.847(20)) are applicable when Administrations authorize organizations to issue Documents of Compliance and Safety Management Certificates on their behalf.

2 SCOPE AND APPLICATION

2.1 Definitions

The terms used in these Revised guidelines have the same meaning as those given in the ISM Code.

2.2 Scope and application

These Revised guidelines establish basic principles for:

1. verifying that the safety management system of a Company responsible for the operation of ships, or the safety management system for the ship or ships controlled by the Company, complies with the ISM Code;

2. carrying out the interim, initial, annual and renewal verification of the Document of Compliance and the interim, initial, intermediate and renewal verification(s) of the Safety Management Certificate and the issuing/endorsement of corresponding documents; and

3. the scope of the additional verification.

3 VERIFYING COMPLIANCE WITH THE ISM CODE

3.1 General

3.1.1 To comply with the requirements of the ISM Code, companies should develop, implement and maintain a documented safety management system to ensure that the safety and environmental protection policy of the Company is implemented. The Company policy should include the objectives defined by the ISM Code.

3.1.2 Administrations should verify compliance with the requirements of the ISM Code by determining:

1. the conformity of the Company’s safety management system with the requirements of the ISM Code; and

2. that the safety management system ensures that the objectives defined in paragraph 1.2.3 of the ISM Code are met.
3.1.3 Determining the conformity or non-conformity of safety management system elements with the requirements specified by the ISM Code may demand that criteria for assessment be developed. Administrations are recommended to limit the development of criteria in the form of prescriptive management system solutions. Criteria for assessment in the form of prescriptive requirements may have the effect that safety management in shipping results in companies implementing solutions prepared by others, and it may then be difficult for a Company to develop the solutions which best suit that particular Company, operation or ship. Therefore, particular operations should be ship-specific and fully reflected in manuals, procedures and instructions.

3.1.4 Therefore, Administrations are recommended to ensure that these assessments are based on determining the effectiveness of the safety management system in meeting specified objectives, rather than conformity with detailed requirements in addition to those contained in the ISM Code, so as to reduce the need for developing criteria to facilitate assessment of the companies' compliance with the Code.

3.2 Ability of the safety management system to meet general safety management objectives

The ISM Code identifies general safety management objectives in section 1.2.2. The verification should support and encourage companies in achieving these objectives, which provide clear guidance to companies for the development of safety management system elements in compliance with the ISM Code. However, the ability of the safety management system to achieve these objectives cannot be determined beyond whether the safety management system complies with the requirements of the ISM Code. Therefore, the objectives should not form the basis for establishing detailed interpretations to be used for determining conformity or non-conformity with the requirements of the ISM Code.

3.3 Ability of the safety management system to meet specific requirements of safety and pollution prevention

3.3.1 The main criterion which should govern the development of interpretations needed for assessing compliance with the requirements of the ISM Code should be the ability of the safety management system to meet the specific requirements defined by the ISM Code in terms of specific standards of safety and pollution prevention. The specific standards of safety and protection of the environment are specified in section 1.2.3 of the ISM Code.

3.3.2 All records having the potential to facilitate verification of compliance with the ISM Code should be open to scrutiny during an examination. These may include records from delegated SMS tasks. For this purpose, the Administration should ensure that the Company provides auditors with statutory and classification records relevant to the actions taken by the Company to ensure that compliance with mandatory rules and regulations is maintained. In this regard, the records may be examined to substantiate their authenticity and veracity.

3.3.3 Some mandatory requirements may not be subject to statutory or classification surveys, such as:

   .1 maintaining the condition of ship and equipment between surveys; and
   .2 certain operational requirements.
3.3.4 Specific arrangements may be required to ensure compliance with the ISM Code and to provide the objective evidence needed for verification in these cases, such as:

1. documented procedures and instructions;
2. documentation of the verification carried out by senior officers of day-to-day operations when relevant to ensure compliance; and
3. relevant records of the ships being operated by the Company, e.g. flag State records, port State controls, class and accident reports.

3.3.5 The verification of compliance with mandatory rules and regulations, which is part of the ISM Code certification, neither duplicates nor substitutes surveys for other maritime certificates. The verification of compliance with the ISM Code does not relieve the Company, the master or any other entity or person involved in the management or operation of the ship of their responsibilities.

3.3.6 Administrations should ensure that the Company has:

1. taken into account the recommendations, as referred to in paragraph 1.2.3.2 of the ISM Code, when establishing and maintaining the safety management system; and
2. developed procedures to ensure that these recommendations are implemented ashore and on board.

4 CERTIFICATION AND VERIFICATION PROCESS

4.1 Certification and verification activities

4.1.1 The certification process relevant to a Document of Compliance for a Company and to a Safety Management Certificate for a ship will normally involve the following steps:

1. interim verification;
2. initial verification;
3. annual or intermediate verification;
4. renewal verification; and
5. additional verification.

4.1.2 These verifications are carried out at the request of the Company to the Administration, or to the organization recognized by the Administration to perform certification functions under the ISM Code, or the verifications are carried out at the request of the Administration by another Contracting Government to the SOLAS Convention. The verifications will include an audit of the safety management system.

4.2 Interim verification

4.2.1 Interim certification may be issued under certain conditions as specified by the ISM Code and should facilitate the implementation of a safety management system.
4.2.2 The Company should apply for interim certification to the Administration.

4.2.3 The process of interim Document of Compliance verification of the management system undertaken by the Administration would require an assessment at the Company’s offices in accordance with paragraph 14.1 of the ISM Code.

4.2.4 On satisfactory completion of the assessment of the shoreside safety management system, arrangements/planning may commence for the assessment of applicable ships in the Company’s fleet.

4.2.5 The process of interim verification of the ship should be undertaken by the Administration to ensure that the ship is provided with a safety management system, in accordance with paragraph 14.4 of the ISM Code.

4.2.6 On satisfactory completion of the interim verification, an Interim Document of Compliance will be issued to the Company; copies should be made available by the Company to every shoreside premises and each applicable ship in the Company’s fleet. As each ship is assessed and issued with an Interim Safety Management Certificate, a copy of the certificate should also be forwarded to the Company’s head office.

4.3 Initial verification

4.3.1 The Company should apply for ISM Code certification to the Administration.

4.3.2 An assessment of the shoreside management system undertaken by the Administration would necessitate assessment of the offices where such management is carried out and possibly of other locations which may include delegated safety management system tasks, depending on the Company’s organization and the functions at the various locations.

4.3.3 On satisfactory completion of the assessment of the shoreside safety management system, arrangements/planning may commence for the assessment of the Company’s ships.

4.3.4 On satisfactory completion of the assessment, a Document of Compliance will be issued to the Company, copies of which should be made available to each shoreside premises and each ship in the Company’s fleet. As each ship is assessed and issued with a Safety Management Certificate, a copy of it should also be forwarded to the Company’s head office.

4.3.5 In cases where certificates are issued by a recognized organization, copies of all certificates should also be sent to the Administration.

4.3.6 The safety management audit for the Company and for a ship will involve the same basic steps. The purpose is to verify that a Company or a ship complies with the requirements of the ISM Code. The audits include:

\[1\]
verification of the conformity of the Company's safety management system with the requirements of the ISM Code, including objective evidence demonstrating that the Company’s safety management system has been in operation for at least three months and that a safety management system has been in operation on board at least one ship of each type operated by the Company for at least three months; and
verification that the safety management system ensures that the objectives defined in paragraph 1.2.3 of the ISM Code are met. This includes verification that the Document of Compliance for the Company responsible for the operation of the ship is applicable to that particular type of ship, and it includes assessment of the shipboard safety management system to verify that it complies with the requirements of the ISM Code and that it is implemented. Objective evidence demonstrating that the Company's safety management system has been functioning effectively for at least three months on board the ship and ashore should be available, including, inter alia, records from the internal audit performed by the Company.

4.4 Annual verification of Document of Compliance

4.4.1 Annual safety management audits are to be carried out to maintain the validity of the Document of Compliance, and should include examining and verifying the correctness of the statutory and classification records presented for at least one ship of each type to which the Document of Compliance applies. The annual verification will address all the elements of the safety management system and the activities to which the requirements of the ISM Code apply. The purpose of these audits is to verify the effective functioning of the safety management system, and that any modifications made to the safety management system comply with the requirements of the ISM Code.

4.4.2 Annual verification is to be carried out within three months before and after each anniversary date of the Document of Compliance.

4.4.3 Where the Company has more than one shoreside premises and/or delegates safety management system tasks, the annual assessments should endeavour to ensure that all sites are assessed during the period of validity of the Document of Compliance.

4.4.4 During the annual verification, administrations should verify if the Company is operating all ship types on the Document of Compliance. Appropriate action should be taken if the Company has stopped operating a particular ship type.

4.5 Intermediate verification of Safety Management Certificates

4.5.1 Intermediate safety management audits should be carried out to maintain the validity of the Safety Management Certificate. The intermediate verification will address all the elements of the safety management system and the activities to which the requirements of the ISM Code apply. The purpose of these audits is to verify the effective functioning of the safety management system and that any modifications made to the safety management system comply with the requirements of the ISM Code. In certain cases, particularly during the initial period of operation under the safety management system, the Administration may find it necessary to increase the frequency of the intermediate verification. Additionally, the nature of non-conformities may also provide a basis for increasing the frequency of intermediate verifications.

4.5.2 If only one intermediate verification is to be carried out, it should take place between the second and third anniversary date of the issue of the Safety Management Certificate.
4.6 Renewal verification

Renewal verifications are to be performed before the validity of the Document of Compliance or the Safety Management Certificate expires. The renewal verification will address all the elements of the safety management system and the activities to which the requirements of the ISM Code apply. Renewal verification may be carried out from three months before the date of expiry of the Document of Compliance or the Safety Management Certificate, and should be completed before the date of expiry.

4.7 Additional verification

4.7.1 The Administration may, where there are clear grounds, require an additional verification to check if the safety management system still functions effectively. Additional verifications may be carried out following situations beyond normal procedures such as port State control detentions, or in the case of reactivation after the interruption of the operations due to a period out of service, or in order to verify that effective corrective actions have been taken and/or are being properly implemented. Additional verifications may affect the shore-based organization and/or the shipboard management system. The Administration should determine the scope and depth of the verification, which may vary from case to case. The additional verifications should be completed within the time period agreed, taking into account guidelines developed by the Organization. The Administration should follow up on the results of the verification and take appropriate measures, as necessary.

4.7.2 On satisfactory completion of the shipboard assessment, the Safety Management Certificate should be endorsed for additional verification.

4.8 Safety management audits

The procedure for safety management audits outlined in the following paragraphs includes all steps relevant for all initial verifications. Safety management audits for the interim, annual, intermediate, and additional and renewal verification should be based on the same principles, even if their scope may be different from initial, annual, intermediate and renewal verification.

4.9 Application for audit

4.9.1 The Company should submit a request for audit to the Administration or to the organization recognized by the Administration for issuing a Document of Compliance or a Safety Management Certificate on behalf of the Administration.

4.9.2 The Administration or the recognized organization should then nominate the lead auditor and, if relevant, the audit team.

4.10 Preliminary review (Document review)

As a basis for planning the audit, the auditor should review the safety management manual to determine the adequacy of the safety management system in meeting the requirements of the ISM Code. If this review reveals that the system is not adequate, the audit will have to be delayed until the Company undertakes corrective action.

4.11 Preparing the audit

4.11.1 The auditor should review the relevant safety performance records of the Company and take them into consideration when preparing the audit plan, for example, flag State records, port State controls, and class and accident reports.
4.11.2 The nominated lead auditor should liaise with the Company and produce an audit plan.

4.11.3 The auditor should provide the working documents which are to govern the execution of the audit in order to facilitate the assessments, investigations and examinations in accordance with the standard procedures, instructions and forms which have been established to ensure consistent auditing practices.

4.11.4 The audit team should be able to communicate effectively with auditees.

4.12 Executing the audit

4.12.1 The audit should start with an opening meeting in order to introduce the audit team to the Company’s senior management, summarize the methods for conducting the audit, confirm that all agreed facilities are available, confirm time and date for a closing meeting and clarify possible unclear details relevant to the audit.

4.12.2 The audit team should assess the safety management system on the basis of the documentation presented by the Company, and objective evidence as to its effective implementation.

4.12.3 The objective evidence should be collected through interviews and examination of documents. Observation of activities and conditions may also be included when necessary to determine the effectiveness of the safety management system in meeting the specific standards of safety and protection of the environment required by the ISM Code.

4.12.4 Audit findings should be documented. After activities have been audited, the audit team should review the objective evidence collected. This should then be used to determine what is to be reported as major non-conformities, non-conformities or observations, and should be reported in terms of the general and specific provisions of the ISM Code.

4.12.5 At the end of the audit, prior to preparing the audit report, the audit team should hold a meeting with the senior management of the Company and those responsible for the functions concerned. The purpose is to present the observations in such a way as to ensure that the results of the audit are clearly understood.

4.13 Audit report

4.13.1 The audit report should be prepared under the direction of the lead auditor, who is responsible for its accuracy and completeness.

4.13.2 The audit report should include the audit plan, identification of audit team members, dates and identification of the Company, and observations on any non-conformities and on the effectiveness of the safety management system in meeting the specified objectives.

4.13.3 The Company should receive a copy of the audit report. The Company should be advised to provide a copy of the shipboard audit reports to the ship.
4.14 Corrective action follow-up

4.14.1 The Company is responsible for determining and initiating the corrective action needed to correct a non-conformity or to correct the cause of the non-conformity. Failure to correct non-conformities with specific requirements of the ISM Code may affect the validity of the Document of Compliance and related Safety Management Certificates.

4.14.2 Corrective actions and possible subsequent audits should be completed within the time period agreed. For corrective actions this should not normally exceed three months. The Company should apply for the follow-up audits as agreed.

4.14.3 Failure to take adequate corrective actions, in compliance with the requirements of the ISM Code, including measures to prevent recurrence, may be considered as a major non-conformity.

4.15 Company responsibilities pertaining to safety management audits

4.15.1 The verification of compliance with the requirements of the ISM Code does not relieve the Company, management, those undertaking delegated safety management system tasks, officers or seafarers of their obligations as to compliance with national and international legislation related to safety and protection of the environment.

4.15.2 The Company is responsible for:

.1 informing relevant employees and those undertaking delegated safety management system tasks about the objectives and scope of the ISM Code certification;

.2 appointing responsible members of staff to accompany members of the team performing the certification;

.3 providing the resources needed by those performing the certification to ensure an effective and efficient verification process;

.4 providing access and evidential material as requested by those performing the certification; and

.5 cooperating with the verification team to permit the certification objectives to be achieved.

4.15.3 Where major non-conformities are identified, Administrations and recognized organizations (ROs) should comply with the procedures stated in the Procedures concerning observed ISM Code major non-conformities (MSC/Circ.1059-MEPC/Circ.401).

4.16 Responsibilities of the organization performing the ISM Code certification

The organization performing the ISM Code certification is responsible for ensuring that the verification and certification process is performed according to the ISM Code and these Revised guidelines. This includes management control of all aspects of the certification according to the appendix to these Revised guidelines.
4.17 Responsibilities of the verification team

4.17.1 Whether or not the verifications involved with certification are performed by a team, one person should be in charge of the verification. The leader should be given the authority to make final decisions regarding the conduct of the verification and any observations. His responsibilities should include:

.1 preparation of a plan for the verification; and

.2 submission of the report of the verification.

4.17.2 Personnel participating in the verification are responsible for complying with the requirements governing the verification, ensuring confidentiality of documents pertaining to the certification and treating privileged information with discretion.
APPENDIX

STANDARDS ON ISM CODE CERTIFICATION ARRANGEMENTS

1 INTRODUCTION

The audit team involved with ISM Code certification and the organization under which it may be managed should comply with the specific requirements stated in this appendix.

2 STANDARD OF MANAGEMENT

2.1 Organizations managing verification of compliance with the ISM Code should have, in their own organization, competence in relation to:

  .1 ensuring compliance with the rules and regulations, including certification of seafarers, for the ships operated by the Company;
  
  .2 approval, survey and certification activities;
  
  .3 the terms of reference that must be taken into account under the safety management system as required by the ISM Code; and
  
  .4 practical experience of ship operation.

2.2 The Convention requires that organizations recognized by Administrations for issuing a Document of Compliance and a Safety Management Certificate at their request should comply with resolution A.739(18) on Guidelines for the authorization of organizations acting on behalf of the Administration and resolution A.789(19) on Specifications on the survey and certification functions of recognized organizations acting on behalf of the Administration.

2.3 Any organization performing verification of compliance with the provisions of the ISM Code should ensure that there exists independence between the personnel providing consultancy services and those involved in the certification procedure.

3 STANDARDS OF COMPETENCE

3.1 ISM Code certification scheme management

Management of ISM Code certification schemes should be carried out by those who have practical knowledge of ISM Code certification procedures and practices.

3.2 Basic competence for performing verification

3.2.1 Personnel who are to participate in the verification of compliance with the requirements of the ISM Code should have at least five years' experience in areas relevant to the technical or operational aspects of safety management and a minimum of formal education comprising the following:

  .1 qualifications from a tertiary institution recognized by the Administration or by the recognized organization within a relevant field of engineering or physical science (minimum two years programme); or
.2 qualifications from a marine or nautical institution and relevant seagoing experience as a certified ship officer.

3.2.2 They should have undergone training to ensure and be able to demonstrate adequate competence and skills for performing verification of compliance with the requirements of the ISM Code, particularly with regard to:

.1 principles and practice of management systems auditing;
.12 knowledge and understanding the requirements of the International Safety Management (ISM) Code and its interpretation and application;
.23 mandatory rules and regulations and applicable codes, guidelines and standards recommended by IMO, flag States, classification societies and maritime industry organization; and
.3 the terms of reference which the ISM Code requires that companies should take into account;
.4 assessment techniques of examining, questioning, evaluating and reporting;
.5 technical or operational aspects of safety management;
.6 basic knowledge of shipping and shipboard operations, including emergency preparedness and response; and
.7 participation in at least one marine-related management system audit.

3.2.3 Such competence should be demonstrated through written or oral examinations, or other acceptable means.

3.3 Competence for initial verification and renewal verification

3.3.2 The time spent and the level of detail that is necessary on each of the topics listed in paragraph 3.2.2 should be appropriate to the qualifications and experience of the trainees, their existing competence in each subject, and the number of training audits to be carried out.

3.3.4 In order to assess fully whether the Company or the ship complies with the requirements of the ISM Code, in addition to the basic competence stated under paragraphs 3.2.1 and 3.2.2 above, personnel who are to perform initial verifications or renewal verifications for a Document of Compliance or a Safety Management Certificate must possess the competence to:

.1 determine whether the safety management system elements conform or do not conform with the requirements of the ISM Code;
.2 determine the effectiveness of the Company's safety management system, or that of the ship, in order to ensure compliance with rules and regulations as evidenced by the statutory and classification survey records;
.3 assess the effectiveness of the safety management system to ensure compliance with other rules and regulations which are not covered by statutory and classification surveys and to enable verification of compliance with these rules and regulations; and
.4 assess whether the safe practices recommended by the Organization, Administrations, classification societies and maritime industry organizations have been taken into account.

3.3.2.5 This competence can be accomplished by teams that together possess the total competence required.

3.3.2.6 Personnel who are to be in charge of initial verification or renewal verification of compliance with the requirements of the ISM Code should have at least five years’ experience in areas relevant to the technical or operational aspects of safety management, and should have participated in at least three initial verifications or renewal verifications. Participation in verification of compliance with other management standards may be considered as equivalent to participation in verification of compliance with the ISM Code.

3.3 Practical Training for performing verification

3.3.1 In order to acquire the competences set out in paragraph 3.2.2 above, a person authorized to carry out ISM audits must have completed at least four training audits under the supervision of suitably qualified and experienced auditors and in accordance with the following criteria:

1. at least one of the ISM audits must be a company audit;
2. at least one of the ISM audits must be a shipboard audit; and
3. the training audits may be initial, renewal, annual or intermediate audits. Additional audits may be used, but only where they are fully scoped audits covering all elements of the ISM Code and all aspects of the management system.

3.3.2 The training audits described in paragraph 3.3.1 above constitute the minimum requirement, and procedures should be established for ensuring and demonstrating that the competences required in paragraph 3.2.2 have been achieved. The final number of training audits should be sufficient not only to demonstrate competence, but also to ensure that the prospective auditor has had sufficient practice to provide the confidence necessary to work alone.

3.4 Competence for annual, intermediate and interim verification

Personnel who are to perform annual, intermediate and interim verifications should satisfy basic requirements for personnel participating in verifications and should have participated in a minimum of two annual, renewal or initial verifications. They should have received the special instructions needed to ensure that they possess the competence required to determine the effectiveness of the Company’s safety management system.

4 QUALIFICATION ARRANGEMENTS

Organizations performing ISM Code certification should have implemented a documented system for qualification and continuous updating of the knowledge and competence of personnel who are to perform verification of compliance with the ISM Code. This system should comprise theoretical training courses covering all the competence requirements and the appropriate procedures connected to the certification process, as well as practical tutored training, and it should provide documented evidence of satisfactory completion of the training.
5 CERTIFICATION PROCEDURES AND INSTRUCTIONS

Organizations performing ISM Code certification should have implemented a documented system to ensure that the certification process is performed in accordance with this standard. This system should, inter alia, include procedures and instructions for the following:

.1 contract agreements with companies;
.2 planning, scheduling and performing verification;
.3 reporting results from verification;
.4 the issuing of Documents of Compliance, Safety Management Certificates and Interim Documents of Compliance and Safety Management Certificates; and
.5 corrective action and follow-up of verifications, including actions to be taken in cases of major non-conformity.

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ANNEX 23

DRAFT MSC-MEPC.2 CIRCULAR

EXAMPLE OF A CERTIFICATE OF PROTECTION FOR PRODUCTS REQUIRING
OXYGEN-DEPENDENT INHIBITORS
(as required by paragraph 15.13.3 of the IBC Code)

1 The Marine Environment Protection Committee at its [seventieth session
(24 to 28 October 2016)] and the Maritime Safety Committee at its ninety-sixth session
(11 to 20 May 2016) approved the Example of a certificate of protection for products requiring
oxygen-dependent inhibitors (as required by paragraph 15.13.3 of the IBC Code), prepared by
the Sub-Committee on Pollution Prevention and Response, at its third session, as set out in
the annex.

2 Member States are invited to bring the attached Example to the attention of
Administrations, recognized organizations, port authorities, shipowners, ship operators,
shipper/manufacturers and other parties concerned.
ANNEX

EXAMPLE OF A CERTIFICATE OF PROTECTION
(as required by paragraph 15.13.3 of the IBC Code)

| INHIBITED CARGO                        |
| CERTIFICATE of PROTECTION             |
| Contact information                   |
| Shipper/manufacturer                  |
| Contact details                       |
| Load port/berth                       |
| Date/Time                             |
| Shipping information                  |
| Ship name                             |
| Trade name of cargo                   |
| IBC Code Product Name                 |
| Inhibitor details                     |
| Name of inhibitor                     |
| Amount added/concentration            |
| Inhibitor added date                  |
| Duration of effectiveness             |
| Is inhibitor oxygen–dependent?        |
| Yes / No (circle one)                 |
| - If yes, the minimum level of oxygen |
|   required in the vapour space for   |
|   the inhibitor to be effective.     |
|   (Include any preferred oxygen      |
|   ranges)                            |
| - Temperature limitation qualifying   |
|   the inhibitors effective lifetime  |
| Expected duration of voyage           |
| Extra inhibitor supplied              |
| Additional information                |
| Action to be taken should the length  |
| of the voyage exceed the effective    |
| lifetime of the inhibitor             |
| Comments                              |
| Date                                  |
| Name (shipper/manufacturer)           |
| Signature                             |

***
ANNEX 24

DRAFT MSC-MEPC.1 CIRCULAR

ORGANIZATION AND METHOD OF WORK OF THE MARITIME SAFETY COMMITTEE AND THE MARINE ENVIRONMENT PROTECTION COMMITTEE AND THEIR SUBSIDIARY BODIES

1 The Maritime Safety Committee, at its ninety-sixth session ([11 to 20 May 2016]), and the Marine Environment Protection Committee, at its seventieth session ([24 to 28 October 2016]), reviewed and revised their Guidelines on the organization and method of work of the Maritime Safety Committee and the Marine Environment Protection Committee and their subsidiary bodies (MSC-MEPC.1/Circ.4/Rev.4), taking account of the document on Application of the Strategic Plan and the High-level Plan of the Organization (resolution A.1099(29)).

2 The Committees, having endorsed the use of mandatory language as necessary, based on resolution A.1099(29), approved the document on Organization and method of work of the Maritime Safety Committee and the Marine Environment Protection Committee and their subsidiary bodies, as set out in the annex.

3 Members are invited to apply the annexed document [with immediate effect], as appropriate, and to bring it to the attention of their representatives at relevant IMO meetings, advising them to strictly observe this document.

4 This circular revokes MSC-MEPC.1/Circ.4/Rev.4.
ANNEX

ORGANIZATION AND METHOD OF WORK OF THE MARITIME SAFETY COMMITTEE AND THE MARINE ENVIRONMENT PROTECTION COMMITTEE AND THEIR SUBSIDIARY BODIES

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6 PROCEDURES FOR PREPARATION AND SUBMISSION OF DOCUMENTS
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   Submission of documents

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ANNEX 1 INFORMATION REQUIRED IN SUBMISSIONS OF PROPOSALS FOR INCLUSION OF AN OUTPUT

ANNEX 2 PROCEDURES FOR ASSESSING THE IMPLICATIONS OF CAPACITY-BUILDING REQUIREMENTS WHEN DEVELOPING NEW, OR AMENDING EXISTING, MANDATORY INSTRUMENTS

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|         | FORMAT 2: POST-BIENNIAL AGENDAS OF COMMITTEES |
| ANNEX 4 | CURRENT ARRANGEMENTS IN THE SECRETARIAT FOR THE PRODUCTION OF WORKING PAPERS DURING MEETINGS |
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1 INTRODUCTION

Purpose and application

1.1 The purpose of this document is to provide a uniform basis for the Maritime Safety Committee (MSC) and the Marine Environment Protection Committee (MEPC) and their subsidiary bodies to conduct their work in an efficient and effective manner and to strengthen the linkage between the Organization's strategy, the work of the Committees and the biennial budget, with a view to achieving IMO's objectives and the priorities over a biennium. This in turn will enable the Committees to respond successfully to the needs for enhanced maritime safety, maritime security and protection of the marine environment, thus providing an efficient mechanism towards achieving the desired goals of the Organization.

1.2 Proper application of the document will also enhance the ability of Committee members and delegations to meetings of subsidiary bodies of the Committees to cover the full spectrum of IMO activities relevant to their work and thus provide for their effective participation in the rule-making process of the Organization. It is also expected that the document will enable the Committees to further improve their decision-making functions.

1.3 The document is applicable to the work of the Committees and their subsidiary bodies as well as to that of working, drafting and correspondence groups set up by these bodies. The Chairmen of the Committees, subsidiary bodies and working, drafting and correspondence groups should make all efforts to ensure strict compliance with the document.

1.4 The document will be kept under review and will be updated as necessary in the light of experience gained in their application, taking into account the document on Application of the Strategic Plan and the High-level Action Plan of the Organization (resolution A.1099(29)).

Objectives

1.5 The provisions of this document are aimed at achieving the following objectives:

.1 to align and strengthen the planning and reporting processes by linking agenda-setting and reporting more clearly to the Strategic Plan and High-level Action Plan;

.2 to strengthen the linkage between outputs on the biennial agenda and the resources required to deliver the outputs;

.3 to facilitate the efforts of the Committees in controlling and monitoring the Organization's work;

.4 to promote discipline in adherence to the planning procedures and guidelines;

.5 to promote objectivity, clarity and realistic time frames in the establishment of biennial agendas by the Committees and their subsidiary bodies;

.6 to ensure maximum possible participation by all Member States and organizations with observer status in the work of the Committees and their subsidiary bodies; and

.7 to establish responsibilities and promote involvement in the planning and reporting processes.
2 DEFINITIONS

For the purpose of this document, the following definitions apply:

.1 **IMO organs** are the Council and committees of the Organization specified in Article 11 of the IMO Convention, including their subsidiary bodies.

.2 **Strategic Plan** is the Strategic Plan for the Organization for a six-year period as adopted by the Assembly, which includes key strategic directions to enable IMO to achieve its mission objectives.

.3 **High-level Action Plan** is the High-level Action Plan of the Organization and the biennium's priorities, as adopted by the Assembly, which enable the Organization to effectively address the strategic directions, identify high-level actions that are necessary for the achievement of IMO objectives and priorities over a biennium, and provide the linkage between the Organization's strategy, the work of the various IMO organs and the biennial budget.

.4 **Output** is an item in the High-level Action Plan to be delivered by one or more IMO organs during the current biennium or accepted for a subsequent biennium.

.5 **Agenda** is a list of outputs for discussion at a particular meeting.

.6 **Biennial agenda** is a list of outputs to be delivered by a Committee or subsidiary body during a biennium.

.7 **Post-biennial agenda** is a list of outputs accepted by the Committees in one biennium that are to be delivered or initiated in the next biennium.

3 COORDINATION OF WORK

3.1 The Committees should function as policy-making bodies and their subsidiary bodies as purely technical bodies.

3.2 The Committees should routinely examine their outputs, allocate work to their subsidiary bodies, review the allocation of meeting weeks to each body and approve their respective biennial and provisional agendas, taking into account any recommendations made by meetings of the Committees' and subsidiary bodies' Chairmen, convened as provided in paragraph 3.4.

3.3 The Committees should regularly review the status of all conventions, protocols and other major instruments under their purview.

3.4 The Committee Chairmen may convene a meeting of Chairmen of the Committees' subsidiary bodies at least once a year. This meeting should preferably take place at the spring session of MSC or MEPC, to advise the Committees on subjects such as those referred to in paragraph 3.2, ensure coordination of the work and examine other matters pertinent to the effective conduct of business and management of the work of the Committees and their subsidiary bodies.

3.5 The Committee Chairmen should, at the end of the first year of the biennium, submit to their respective Committees a joint plan covering the activities, priorities and meetings of the Committees and their subsidiary bodies for the coming biennium, for consideration in the subsequent year.
3.6 When both Committees have been charged by the Council, Assembly or a conference with considering a specific item and one Committee has finalized its consideration, the other Committee should consider it at its first subsequent session.

3.7 When an issue is transferred to one of the Committees by another committee of the Organization for specific action, the Committee, before including the subject in question in the biennial agenda, should decide that the provisions of section 4, as appropriate, are fully satisfied, even if the issue, in accordance with the criteria of the referring committee, satisfies the requirements of resolutions A.500(XII), A.777(18) and A.900(21).

4 WORK PLANNING AND DELIVERY PROCESS

Outputs

4.1 The Committees shall identify, in a timely manner, the outputs to be included in the High-level Action Plan for the next biennium, and the Secretariat should develop its Business Plan, as such identification provides a basis for making an estimate of the budget required for that biennium.

4.2 In the process of constructing the High-level Action Plan for the next biennium, the following should be included:

.1 continuous and annual outputs within the current High-level Action Plan;
.2 incomplete outputs within the current High-level Action Plan;
.3 outputs from the post-biennial agenda, subject to resource availability; and
.4 any other proposals for outputs, following their assessment in accordance with the provisions in paragraph 4.6.

4.3 Decisions on the inclusion of outputs in the High-level Action Plan for the next biennium shall be guided by the strategic directions and high-level actions established in the Strategic Plan and the High-level Action Plan and shall take due account of:

.1 the specific necessity for an output to be started during the current biennium;¹
.2 the potential impact that the inclusion of an output in the biennial agenda may have in the timely delivery of outputs in the relevant High-level Action Plan;
.3 the potential impact that the inclusion of an output may have on the workload of the Committees and their subsidiary bodies delivering the output;
.4 the personnel and budgetary resources available;
.5 the potential adverse impacts on the ability of the Organization to meet its objectives if a decision is made not to accept a proposal for inclusion of an output in the biennial or post-biennial agendas; and
.6 the potential impact that the inclusion of an output may have on small island developing States (SIDS) and the least developed countries (LDCs).

¹ The normal action will be for outputs, if accepted, to be placed on the post-biennial agenda, and only in exceptional circumstances will outputs be added to the biennial agenda and current High-level Action Plan.
4.4 Such outputs may be revised during the biennium by the Committees, taking into account the provisions of paragraph 4.3, if subsequently endorsed by the Council.

4.5 The overview of the Organization's overall planning hierarchy and its links to related processes, and of the Organization's strategic planning process and its related planning and reporting flows during the course of a biennium are shown in diagrams 1 and 2 contained in annex 1 to the document on Application of the Strategic Plan and the High-level Action Plan of the Organization (resolution A.1099(29)).

Submission of proposals for new outputs

4.6 To enable the Committees to carry out a proper assessment of proposals for new outputs, submissions containing such proposals must, at a minimum, contain the information, including demonstration and documentation, set out in annex 1 (see also annex 5).

4.7 The Committees may receive the results of a Formal Safety Assessment (FSA) study carried out in accordance with the Revised guidelines for Formal Safety Assessment (FSA) for use in the IMO rule-making process (FSA Guidelines) (MSC-MEPC.2/Circ.12/Rev.1). The criteria in paragraph 4.3 also apply to the outcomes of an FSA study that may be regarded by the Committees as proposals for new outputs (see also paragraph 4.17).

4.8 Member States should refrain from submitting to the Committees proposals for outputs under specific agenda items. The Secretariat should not accept such submissions and should advise the submitting Administrations accordingly.

4.9 Proposals for new outputs shall not be submitted to a subsidiary body. A subsidiary body shall not undertake work on outputs or expand the scope of outputs unless directed or authorized to do so by its parent organ.

4.10 Proposals for new outputs may be developed and submitted by a subsidiary body when such proposals arise from other outputs already on the agenda of that subsidiary body.

4.11 Proposals for the inclusion of outputs submitted to the Committees by non-governmental organizations shall be co-sponsored by Member States.

4.12 Follow-up action in response to specific requests for action emanating from the Assembly and diplomatic conferences convened by IMO, United Nations conferences and bodies, regional intergovernmental conferences and other international and intergovernmental organizations, etc. shall be evaluated in the light of paragraph 4.3, unless they are specifically identified as urgent matters requiring immediate actions, and it is demonstrated that the risk of not acting will adversely affect the Organization's ability to meet its purposes.

Preliminary assessment by the Committees' Chairmen of proposals for outputs

4.13 In order to facilitate the consideration of proposals for outputs by the Committees, the Chairman of the Committee concerned should undertake a preliminary assessment of such proposals. The Chairman should, for that purpose, be supported by the Vice-Chairman and the Secretariat and should consult the Chairman of any subsidiary body concerned.
4.14 The outcome of the preliminary assessment should be submitted to the Committee for consideration and approval, and should include the Chairman's appraisal of:

.1 whether the proposal complies with the requirements for the submission of proposals for outputs, as specified in paragraph 4.6;

.2 whether the proposal complies with the criteria specified in paragraph 4.15;

.3 whether the demonstrated need of the proposal requires its inclusion on the biennial agenda; and, if so,

.4 whether the agenda of the Committee can absorb the work associated with the output.

Assessment of proposals for outputs

4.15 Before deciding to accept a proposal for a new output, a Committee shall carry out an assessment of the proposal against the following criteria:

.1 Is the subject addressed by the proposal considered to be within the scope of IMO’s objectives and the Strategic Plan for the Organization?

.2 Does the proposal contribute to the high-level actions established in the High-level Action Plan?

.3 Does the proposal involve the exercise of functions conferred upon a Committee by or under any international convention or related instrument?

.4 Has a need for the output been justified and documented?

.5 Has an analysis been provided that justifies and documents the practicality, feasibility and proportionality of the proposed output?

.6 Has the analysis of the issue sufficiently addressed the cost to the maritime industry as well as the relevant legislative and administrative burdens?²

.7 Are the benefits (e.g. enhanced maritime safety, maritime security, protection of the marine environment, or facilitation of maritime traffic) that are expected to be derived from the inclusion of the proposed output clearly stated?

.8 Do adequate industry standards exist or are they being developed?

.9 Has the proposed output been properly specified in SMART terms (specific, measurable, achievable, realistic, time-bound)?

.10 Does the completed checklist for considering human element issues by IMO bodies, as set out in MSC-MEPC.7/Circ.1, demonstrate that the human element has been sufficiently addressed?

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² Refer to the checklist in annex 5, which should be completed by all proponents of outputs and attached to their proposals for consideration by the Committees. The Committees may also use the checklist before adopting new, or amending existing, mandatory instruments, in order to satisfy themselves that administrative requirements have been minimized to the greatest extent possible.
If inclusion of the output in the current biennium is proposed, is this action properly justified?

Would a decision to reject the proposal pose an unreasonable risk to the Organization's overall objectives?

4.16 Nothing in these guidelines shall prohibit the Committees from taking immediate action on urgent matters if the risk of not acting will adversely affect the Organization's ability to meet its purposes.

4.17 Paragraph 4.15 above is also applicable to the outcome of an FSA study (see also paragraph 4.7). Annex 6 provides guidance for considering and reviewing the outcomes of FSA studies.

**Decision on acceptance and inclusion of outputs**

4.18 Based on its assessment in accordance with paragraph 4.15, having taken due account of the Chairman's appraisal of the proposal in accordance with paragraphs 4.13 and 4.14, a Committee may decide that:

1. the proposal is not within the scope of the current Strategic or High-level Action Plans and should not, therefore, be accepted for inclusion;

2. the need has not been sufficiently demonstrated and therefore the output should not be included;

3. for outputs for which extensive work is required, such as the revision of conventions or the preparation of codes, the Chairman of the coordinating subsidiary body should be invited, with the support of the Secretariat, to prepare a comprehensive and coherent plan of work in order to inform the Committee of the full impact of the proposed output before it finalizes its decision on the output;

4. the urgency of the proposed action did not justify inclusion within the current biennium, and therefore accept the output for inclusion in the next biennium;

5. the implications for the present workload of the Organization are unacceptable within the current biennium, and therefore accept the output for inclusion in the next biennium; or

6. the demonstrated need for the output is such that it should be included, together with a target date for completion, in the biennial agenda, provided the Committee is satisfied that the implications for the workload and planning are acceptable.
### Strategic plan

<table>
<thead>
<tr>
<th>Strategic plan</th>
<th>Need to carry out the work</th>
<th>Urgency to deliver the output</th>
<th>Work load/personnel and budgetary resources</th>
<th>Decision</th>
</tr>
</thead>
<tbody>
<tr>
<td>Within scope of strategic plan</td>
<td>Demonstrated</td>
<td>Justified</td>
<td>Implication of workload and planning are acceptable within the current biennium</td>
<td>Accept output for inclusion within the current biennium</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Not Justified</td>
<td>Implications for the present workload of the Organization are unacceptable within the current biennium</td>
<td>Accept output for inclusion in the next biennium</td>
</tr>
<tr>
<td></td>
<td>Demonstrated</td>
<td>Not Justified</td>
<td>Acceptable to next biennium</td>
<td>Accept output for inclusion in the next biennium</td>
</tr>
<tr>
<td></td>
<td>Not demonstrated</td>
<td>Not Justified</td>
<td>No need to further consider</td>
<td>Output not to be accepted for inclusion</td>
</tr>
<tr>
<td>Outside the scope of current strategic plan</td>
<td>No need to further consider</td>
<td>No need to further consider</td>
<td>No need to further consider</td>
<td>Output not to be accepted for inclusion</td>
</tr>
</tbody>
</table>

4.19 Upon a decision to include an output in its post-biennial agenda, the Committee shall include the accepted output, and the time scale for completion, in its proposals for the High-level Action Plan for the next biennium.

4.20 The Committees shall report on their decisions on proposals for outputs in their regular reports to the Council, for endorsement and in order to facilitate the monitoring of the delivery of current biennial agendas and the planning of future work.

4.21 In pursuance of resolution A.998(25) on Need for capacity-building for the development and implementation of new, and amendments to existing, instruments, the Committees should assess the implications for capacity building and technical cooperation and assistance, initiated on acceptance of a proposal for an output concerning new, or amendments to existing, mandatory instruments, against the criteria for identification of capacity-building implications, set out in annex 2.

**Decision on inclusion of outputs in the biennial agenda of subsidiary bodies**

4.22 A decision by a Committee to include an output in the biennial agenda of a subsidiary body shall include clear and detailed instructions for the work to be undertaken by the subsidiary body or bodies concerned, preferably by establishing the terms of reference under which such work should be undertaken.
Coordination of outputs included in the agenda of more than one subsidiary body

4.23 In deciding to include an output on the agenda of more than one subsidiary body, the Committee shall:

1. designate the subsidiary body that is to coordinate the work so as to avoid duplication, maintain consistency in the standards being developed and ensure effective communication between the subsidiary bodies concerned;

2. ensure that the coordinating subsidiary body can complete the work by the target completion date;

3. ensure that only those subsidiary bodies essential for the completion of the work will be involved, in order to avoid superfluous work and documentation;

4. ensure that the work is included in the biennial agendas of all the subsidiary bodies concerned;

5. ensure that the coordinating subsidiary body reports to its parent organ(s) on the status of the work; and

6. for interrelated outputs contributing to the same overall objective, designate the subsidiary body to oversee the consistency of the work on those outputs.

Additional considerations

4.24 Submissions to the Committees or subsidiary bodies highlighting problems or shortcomings identified in a particular area(s) of maritime safety, maritime security or protection of the marine environment should, in general and where possible, also suggest appropriate solutions.

4.25 When new constructional requirements have been proposed for new ships, the Committees and subsidiary bodies should, in order to minimize the unavoidable gaps in safety standards between new and existing ships, consider applying the proposed new requirements, or any modifications to them, to existing ships using the Interim guidelines for the systematic application of the grandfather clauses (MSC/Circ.765-MEPC/Circ.315).

4.26 Recognizing the human factor as an integral part of any effort to enhance maritime safety, maritime security or protection of the marine environment, the subsidiary bodies should consider the human factor whenever new requirements are developed and existing requirements are reviewed, by taking into account the human element principles, as set out in the annex to resolution A.947(23) on Human element vision, principles and goals for the Organization, particularly when:

1. reviewing the adequacy of requirements and recommendations for equipment and operating manuals on board ships, including the simplification and standardization of terminology; in this respect, when developing new or amending existing performance standards, careful consideration should be given to including recommendations on:

1.1 user-friendliness;

2. safety of use of the equipment;
.3 harmonization of essential safety features of the equipment; and
.4 the need for clear, easily understandable and updated operating and technical manuals and drawings;
.2 reviewing the adequacy of requirements and recommendations for operational guidelines on board ships, in particular with respect to their being easily understandable;
.3 continuing the simplification and standardization of symbols and signs used on board ships; and
.4 identifying words and phrases used in IMO instruments such as “adequate”, “sufficient”, “to the satisfaction of the Administration”, etc. and determining the extent to which they can be more specifically defined.

4.27 Outputs for which extensive work is required, such as the preparation of codes, should, when appropriate, be placed on the provisional agendas of alternate sessions of the bodies concerned to allow adequate time for preparatory work by delegations.

4.28 In respect of subjects requiring research, contributions from other organizations and appropriate entities should be encouraged and taken into account. Exchange of information on technological development should be encouraged.

4.29 In the context of resolution A.911(22) on Uniform wording for referencing IMO instruments, subsidiary bodies should be guided in their work, as appropriate, by the guidelines annexed thereto.

4.30 Substantial modifications of draft amendments to mandatory instruments being considered by the Committees with a view to adoption should be accepted for discussion only if they have been submitted in writing. However, in exceptional circumstances, where the draft amendments under consideration include significant discrepancies or omissions, or where serious difficulties in their application can be foreseen, the Committees may accept to discuss oral proposals aimed at resolving any problems identified.

Management, control and reporting

4.31 In implementing the High-level Action Plan, proper management and control mechanisms shall be in place to ensure that:
.1 biennial agendas and agendas are both clearly linked to the Strategic Plan and the High-level Action Plan;
.2 the objectives of the Strategic Plan and the High-level Action Plan can be met within the resource constraints of the Organization and its membership;
.3 the Organization’s response to changes in the environment within which it operates is consistent with the Strategic Plan and the High-level Action Plan; and
.4 monitoring and reporting are such that progress on biennial agendas is explicitly linked to progress made on outputs.
4.32 In order to provide a transparent link between the Strategic Plan and the Organization’s work, the following principles shall be applied:

.1 the High-level Action Plan shall – together with the Secretariat’s Business Plan – form the basis of the biennial work of all the IMO organs and the budget of the Organization;

.2 the items contained in the agendas and biennial agendas of all IMO organs shall all be outputs in the High-level Action Plan or included in the Secretariat’s Business Plan;

.3 the biennial agendas of the Committees and their subsidiary bodies shall follow format 1 set out in annex 3 and should be annexed to the reports of each session;

.4 for outputs with target completion dates within the current biennium, the biennial agenda shall specify the year of planned completion and include any tasks that are to be completed on an annual basis;

.5 for an action that is expected to take more than one biennium to complete, the High-level Action Plan shall specify the planned completion year; the responsible Committee shall review the relevant output at the end of the biennium to assess the progress made and make a recommendation whether to include it in the next High-level Action Plan;

.6 continuous items are discouraged, but in those cases where they are deemed unavoidable it is still necessary for them to be given a “SMART” definition so that progress during the biennium can be assessed; and

.7 documents submitted to the Committees and their subsidiary bodies shall clearly demonstrate the direct relation between the proposals they contain and the output to be delivered under the relevant agenda item, on the basis of the High-level Action Plan.

4.33 Reports on the status of outputs included in the High-level Action Plan shall follow format 1 set out in annex 3, and shall be annexed to the reports of each session of the Committees and their subsidiary bodies. Such reports shall identify new outputs accepted for inclusion in the biennial agendas.

4.34 In preparing their own reports, the Committees and their subsidiary bodies shall incorporate all reports they have received since their previous report on the status of outputs.

4.35 The Committees shall establish and maintain post-biennial agendas which should follow format 2 set out in annex 3. These shall be annexed to the reports of each session. For planning purposes, the subsidiary bodies shall also maintain a list of the accepted outputs in the Committees’ post-biennial agendas for outputs under their purview.

Responsibilities

4.36 Member States and the Secretariat shall ensure consistency and discipline in the administrative management of the planning and reporting cycle.

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3 Should an associated organ not have been requested to consider an output during a session in the biennium, that organ is not required to include the specific output in its biennial agenda for that session.
4.37 Accordingly, the Chairmen, Vice-Chairmen and Secretaries of the Committees and their subsidiary bodies have a specific responsibility for effective management of the planning and reporting cycle and for consistent and rigorous application of this document and the document on Application of the Strategic Plan and the High-level Action Plan of the Organization (resolution A.1099(29)).

4.38 In order to fulfil the function in paragraph 4.37, well-established cooperation and coordination are expected between the Chairmen, Vice-Chairmen and Secretaries of the Committees and their subsidiary bodies by all available means, including face-to-face meetings and teleconferences, as deemed necessary.

5 WORKING ARRANGEMENTS

Committees and subsidiary bodies

5.1 The subsidiary bodies should, as necessary, operate under the instructions of both MSC and MEPC and should report on specific outputs directly and separately to the Committee that has sought their expert advice, rather than reporting to both Committees.

5.2 The subsidiary bodies should periodically review their terms of reference to ensure that they accurately reflect the work being carried out.

5.3 The Committees should periodically review the necessity for the continued existence of their subsidiary bodies.

5.4 The subsidiary bodies should not recommend the convening of working groups during sessions of a Committee without prior consultation by the Chairman of the subsidiary body concerned with the Chairman of that Committee.

5.5 A subsidiary body may request a contribution from another body, in which case the latter should be allowed sufficient time to prepare its contribution, taking into account its outputs.

5.6 The Committees should not, as a rule, permit any subsidiary body to commence work on the review or improvement of provisions already approved by it until sufficient experience has been gained from the application of such existing provisions.

5.7 Subsidiary bodies should focus their efforts on carrying out the technical work entrusted to them and should not normally, without good reason, reopen discussions on the need or the compelling need for an output, whether it is on their agenda or not.

5.8 With the aim of facilitating the technical work being carried out effectively and efficiently, the proponent(s) of proposals for new outputs should ensure that sufficient and relevant information, in line with the need or compelling need as determined by the Committee, is made available to the subsidiary body when embarking on its technical work.

5.9 Subsidiary bodies should not expand the scope of existing outputs unless directed or authorized to do so by a Committee. Subsidiary bodies should not develop amendments to, or interpretations of, any relevant IMO instrument without prior authorization from a Committee. However, in compliance with paragraph 4.9, when seeking a Committee's authorization to act as provided in the previous two sentences (or when spontaneously proposing an output for the current biennium or a new output to be accepted for inclusion in a Committee's post-biennial agenda), subsidiary bodies should ensure that their request complies with the provisions of paragraphs 4.3, 4.6 and 4.15, as appropriate. As subsidiary bodies may not
have sufficient time to develop the required information, given that their biennial agendas are usually only discussed at the end of their sessions, interested delegations should, in consultation with the subsidiary-body Chairman and the Secretariat, prepare the information, which should accompany the proposal, necessary for the Committee to decide whether an output should be included in the subsidiary body's biennial agenda or in a Committee's post-biennial agenda.

5.10 Subsidiary bodies should not, as a rule, issue circulars, which are supposed to be issued only after approval by the Committees. However, in exceptional cases, subsidiary bodies may issue circulars within their area of competence, subject to endorsement of their action by the Committee or Committees concerned at their first subsequent session.

5.11 Subsidiary bodies should avoid developing unified interpretations of guidelines. In cases where the existing text of guidelines is vague and therefore needs modification, the subsidiary body concerned should amend the guidelines accordingly, in lieu of developing a unified interpretation.

5.12 When considering their outputs and/or their provisional agendas for the following session, subsidiary bodies should seek the advice of the Committees in the case of outputs for which no submissions have been received for two consecutive sessions.

Guidance on the selection of outputs for the provisional agenda

5.13 Subsidiary bodies should select outputs for their provisional agendas in a manner ensuring that proper consideration is given to important and urgent issues, taking into account:

- the number of working days of each session; and
- the number of working and drafting groups that the subsidiary body intends to establish.

5.14 Outputs should be selected first from the biennial agenda and, where the subsequent session will occur in the coming biennium, from the accepted outputs included in the Committee's post-biennial agenda.

5.15 The total number of selected outputs and the workload of the subsidiary bodies' provisional agendas should be kept at an appropriate and manageable level, ensuring high-quality output. Outputs selected from the Committees' post-biennial agendas should be included in the subsidiary bodies' agendas only when the outputs of the relevant biennial agenda are completed and the capacity of the subsidiary body allows the inclusion of additional outputs.

5.16 The remaining outputs not selected will be kept in abeyance and will be transferred to the provisional agendas of the subsidiary bodies as and when selected by them and endorsed by the Committee concerned, taking into account the overall workload of the subsidiary bodies responsible for the work.

Working, drafting, correspondence, intersessional working and other groups

Working groups

5.17 The Committees and their subsidiary bodies should keep the number of working groups formed during their sessions to a minimum; however, a maximum of three working groups may be established when necessary, bearing in mind the difficulties that small
delegations experience in being represented in such groups and the fact that such groups work without interpretation. When a working group has completed its task and has been terminated, no other working group should be convened in its place during the same session. To that end, subsidiary bodies should endeavour to consider, as appropriate, items on their agenda in plenary, rather than establishing groups to deal with them.

5.18 Where more than three working groups are needed to deal with different subjects in one session, the Committees and subsidiary bodies should establish an order of priority for possible subject items and decide accordingly. Where more than three unrelated topics need to be covered by independent working groups over several sessions, arrangements may be made for groups concerned to meet at alternate sessions of the Committee and subsidiary body concerned, within the maximum of three working groups per session.

5.19 Working groups may start work on the first morning of a session under draft terms of reference presented by the Chairman of the Committee or subsidiary body concerned, pending formal discussion of those terms of reference under the relevant agenda item. However, these measures should be an option and be decided at the meeting with caution. Whenever possible, terms of reference for working groups should be agreed at the previous sessions of the parent Committee or subsidiary bodies. Another option is for the draft terms of reference of working and drafting groups issued at the beginning of a session, in accordance with paragraph 5.36, to identify items on which groups may start working on the first morning of the session, without prior consideration of the related agenda items in plenary.

5.20 In principle, a working group should not have splinter groups. However, where it is necessary to establish one or more splinter groups to facilitate efficient work, the working group should do so by unanimous agreement and should consider and agree to the outcome of the splinter group's work before incorporating it in its report. Splinter groups, if established, should meet outside normal working hours, unless the working group decides otherwise to improve the efficiency of the work.

5.21 Subsidiary bodies' working groups, if circumstances and time constraints so dictate, may submit their reports directly to the Committees if authorized to do so by the parent body, following consultations between the Chairman of the group, the Chairman of the parent body and the Chairmen of the Committees concerned.

5.22 When appropriate, working groups should make full use of the five working days of a session in submitting their reports to the next session of their parent body. When working group reports are to be prepared during a session, all efforts should be made to keep them as short as possible.

5.23 Permanent working groups should be avoided, however, if there is a need for such a group, a clear justification and appropriate terms of reference should be provided by the subsidiary body concerned.

**Drafting groups**

5.24 In addition to working groups, the Committees and their subsidiary bodies may form drafting groups. In no case should more than five groups (e.g. three working and two drafting groups) meet simultaneously during a session. If additional drafting groups are needed, they should meet outside normal working hours.
Other groups

5.25 In addition to working and drafting groups, the Committees and their subsidiary bodies may form other groups, such as technical or review groups, as required under relevant conventions. Depending on the necessity and urgency of the issue to be considered, such groups may meet in addition to or in lieu of working or drafting groups.

Correspondence groups

5.26 To facilitate the consideration of an issue, correspondence groups may be established by the Committees or subsidiary bodies and be instructed to work on a consolidated draft text prepared by a "lead country" or the Secretariat, provided that the Committee has agreed to consider the issue and has endorsed terms of reference for the group (see also paragraph 5.36). Thus, through consultation between interested delegations by correspondence, the volume of documents submitted and processed can be reduced.

5.27 Correspondence groups should utilize modern communications technology, such as the Internet, as much as possible.

5.28 The work of a correspondence group (e.g. the receipt and processing of comments and suggestions) should not pre-empt formal consideration of the relevant issue by the parent body concerned or the positions taken by Member States or international organizations participating in the group.

5.29 Normally, the Committees and subsidiary bodies should not establish more than three correspondence groups, although this number may be increased where the urgency of the matter under consideration so justifies. Sub-groups within a correspondence group should not be established. No official meetings of members of correspondence groups should be held without the prior approval of the Committee(s).

5.30 Participation in correspondence groups is open to all delegations (Member States and organizations) that can provide the necessary expertise on a timely basis or that have a particular interest in the issue under consideration. Any Member State or international organization can join in the work of a correspondence group once the group is established; and the group should accept contributions at any stage of its work.

5.31 When establishing a correspondence group, a "lead country", "lead organization" or the Secretariat should be designated to coordinate the group's work. Responsibilities of group coordinators include:

1. preparation, maintenance and circulation of the list of participants;
2. establishment of deadlines for the preparation of draft texts and receipt of comments and proposals concerning them;
3. preparation and circulation of draft texts and comments concerning them;
4. preparation and submission to the Secretariat of the report of the correspondence group, including any consolidated draft texts (see paragraph 5.35); and
5. introduction of the above-mentioned report and consolidated draft texts to the appropriate Committee or subsidiary body.
5.32 Responsibilities of participants include:

.1 active participation in the work of the group;

.2 compliance with the deadlines established for the submission of comments on draft texts, proposals, etc.; and

.3 relaying to other group members copies of comments, proposals, etc. submitted to the group coordinator.

5.33 The responsibilities of the Secretariat, in cases where the Secretariat acts as a group coordinator, should be the same as those described in paragraph 5.31 above. The Secretariat may also be requested to circulate consolidated draft texts, etc. on behalf of the group coordinator.

5.34 The results of work carried out by correspondence groups should normally take the form of a consolidated draft text reflecting the information received from members of the group. Such texts should be accompanied by a succinct report summarizing the work and indicating which members have provided input to the process. Where it has not been possible to prepare an agreed consolidated draft document, the texts or issues on which there was disagreement should be clearly indicated in the draft document or the report, as appropriate.

5.35 Correspondence groups' reports should be submitted to the first session of the parent body after the conclusion of the groups' work, in time to meet the deadline established for consideration of substantive documents, in accordance with the provisions of paragraph 6.12. Normally the work of correspondence groups should not overlap with sessions of the parent Committee or subsidiary body. If the group has not finalized its work in time to meet the applicable deadline, a progress report should be made to the parent body.

Terms of reference of working, drafting and correspondence groups

5.36 When working, drafting and correspondence groups are to be formed, draft terms of reference should be prepared, following consultations between the Chairman of the relevant Committee or subsidiary body and the Secretariat, for approval by plenary. In the case of working and drafting groups, these draft terms of reference should be issued by the Secretariat at the beginning of the session for agreement by plenary before the groups in question start their work. Thereafter, the agreed terms of reference should not be modified or extended without the parent body's prior consent.

Intersessional working groups

5.37 Subject to endorsement by the Council, intersessional meetings of working groups may be convened without interpretation services. Intersessional meetings should be held only if considered to be absolutely essential and after careful consideration of their necessity by the relevant Committee on a case-by-case basis, taking into account the priority and urgency of the specific matter that such meetings will be invited to address. Intersessional meetings of such groups should be held at IMO Headquarters immediately before or after a session of the parent body concerned. Other arrangements may be considered, however, no arrangements should be made in respect of an intersessional meeting until such a meeting has been approved by the Committee. Intersessional working groups and technical groups should not be held at the same time as Committee or Sub-Committee meetings.
6 PROCEDURES FOR PREPARATION AND SUBMISSION OF DOCUMENTS

Preparation of documents

6.1 Documents should be prepared in single spacing and be as concise as possible so as to facilitate their timely processing. In order to enhance the clear understanding of documents, the following should be observed:

.1 all documents should be preceded by a brief summary prepared in the form, and containing the information, indicated in the table below. Documents, especially proposals for the inclusion of an output, – should demonstrate, where feasible, the linkages to the Strategic and High-level Action Plans by including, in the summary, references to the related strategic direction(s), high-level action(s) and output(s):

<table>
<thead>
<tr>
<th>SUMMARY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Executive summary:</td>
</tr>
<tr>
<td>Strategic direction:</td>
</tr>
<tr>
<td>High-level action:</td>
</tr>
<tr>
<td>Output:</td>
</tr>
<tr>
<td>Action to be taken:</td>
</tr>
<tr>
<td>Related documents:</td>
</tr>
</tbody>
</table>

.2 substantive documents should conclude with a summary of the action the relevant body is invited to take; and

.3 information documents should conclude with a summary of the information they contain.
6.2 To facilitate their processing, documents should be submitted in Microsoft Word, using Arial font size 11, by email to:

- info@imo.org – for consideration by MSC or MEPC;
- ccc@imo.org – for consideration by the CCC Sub-Committee;
- htw@imo.org – for consideration by the HTW Sub-Committee;
- iii@imo.org – for consideration by the III Sub-Committee;
- ncsr@imo.org – for consideration by the NCSR Sub-Committee;
- ppr@imo.org – for consideration by the PPR Sub-Committee;
- sdc@imo.org – for consideration by the SDC Sub-Committee;
- sse@imo.org – for consideration by the SSE Sub-Committee;
- etgroup@imo.org – for consideration by the E&T Group;
- esph@imo.org – for consideration by the ESPH Working Group; and
- fsa@imo.org – for consideration by the FSA Experts’ Group;

Hard copies of documents may also be submitted or requested, to check that none of the text has been garbled during sending or conversion.

6.3 Documents made available at IMO, 13 weeks or more before a session, should not be introduced in the plenary unless the Chairman decides that this is essential for the proper consideration of the matter concerned. Information documents and documents requiring no action by the Committees or their subsidiary bodies other than for their contents to be noted should not be introduced in the plenary.

6.4 To indicate the importance of documents containing proposed amendments to IMO instruments related to maritime safety, maritime security and protection of the marine environment which have been approved for adoption by MSC or MEPC, such documents will be identifiable on the IMO document website (IMODOCS) by background highlighting in pink.

6.5 Documents containing proposed amendments to mandatory instruments should be presented in a format that permits clear identification of the changes being introduced (e.g. use ‘strikeout’ for deleted text and ‘grey shading’ to highlight all modifications and new insertions, including deleted text).

6.6 Reports of the Committees and their subsidiary bodies should, in general, contain under each section only:

.1 a summary of key documents and a list of other documents submitted by Member States, international organizations or the Secretariat;

.2 a summary of the views expressed during consideration of an item that may have influenced the decision taken by the reporting body (but not allowing the reports to turn into summary records), with statements by delegations included only at their express request during the session; and

.3 a record of the decisions taken.

6.7 In drafting recommendations, codes or guidelines, cross references should, whenever possible, be made to texts and terminology previously developed by IMO or other organizations. This will avoid unnecessary duplication and reduce the need for excessively detailed provisions and for subsequent harmonization.

6.8 The Chairmen of subsidiary bodies should not introduce their reports to the Committees as these should be taken as read.
6.9 With respect to urgent matters emanating from sessions of subsidiary bodies or IMO bodies other than the Council and the Assembly, which have taken place less than 13 weeks before a session of a Committee, the Committee should consider only such urgent matters as may have been specified by it at a prior session. As a general rule, the Committee should not consider reports or matters emanating from any subsidiary body session which has taken place less than nine weeks prior to the Committee’s session. In exceptional cases, a subsidiary body may invite the Committee to take action on a matter that the subsidiary body considers to be urgent and important emanating from a session that took place less than nine weeks prior to the Committee’s session. In such cases, the subsidiary body Chairman should consult the Committee Chairman for approval of the contemplated action.

6.10 All concerned should be continuously aware of the financial and environmental impact of the volume of documentation generated by IMO meetings and should limit, to the greatest possible extent, the number of pages of documents submitted to such meetings. For information, the current arrangements in the Secretariat for the production of working papers during meetings are described in annex 4.

6.11 To encourage the action referred to in paragraph 6.10 above, documents other than information documents and reports from the Committees and subsidiary bodies, working, drafting, correspondence and other reporting groups and the Secretariat, which contain more than 20 pages, should not be translated in their entirety. They should include, for translation purposes, a summary of the document not longer than four pages, with the remaining content submitted as an annex in the language (e.g. English) that may be needed, for example, by working groups.

Submission of documents

6.12 To ensure that all documents are available at IMO Headquarters in all three working languages well in time for a session of a Committee or subsidiary body, so as to enable the timely study of documents and promote participation by all Members in the decision-making process of the Committees and their subsidiary bodies, the following provisions apply:

.1 as a general rule, documents, other than information documents and reports of Committees and subsidiary bodies, working, drafting, correspondence and other reporting groups and the Secretariat, should not contain more than 50 pages. In the case of reports from working, drafting, correspondence or other reporting groups and in other exceptional circumstances, this number of pages may be exceeded, provided that the deadline for receipt of the document by the Secretariat, as specified in subparagraphs .2 and .3 below, is extended by one week for every 20 pages exceeding 50 pages;

.2 documents containing proposals for inclusion of new outputs should be received by the Secretariat not later than 13 weeks before the opening of the relevant Committee session. They should be made available at IMO Headquarters and on the IMO document website, in the Organization’s three working languages, not later than five weeks before the opening of the session;

.3 documents (including information documents) containing more than six pages of text (bulky documents) should be received by the Secretariat no later than 13 weeks before the opening of the relevant session of a Committee or subsidiary body. However, bulky information documents submitted in electronic format may be accepted by the Secretariat if they are received no later than nine weeks before the session concerned. They should be made available at IMO Headquarters and on the IMO
document website, in the Organization's three working languages, except for information documents (which should not be translated), not later than five weeks before the opening of the session;

.4 non-bulky documents commenting on those referred to in subparagraphs .2 and .3 above, or on items already on the agenda, should be received by the Secretariat no later than nine weeks before the opening of the relevant session of a Committee or subsidiary body. They should be made available at IMO Headquarters and on the IMO document website, in the Organization's three working languages, not later than five weeks before the opening of the session;

.5 notwithstanding the provisions of subparagraph .4 above, documents commenting on those referred to in subparagraphs .2, .3 and .4 above containing four pages or less should be processed if received by the Secretariat not later than seven weeks before the opening of the relevant session of a Committee or subsidiary body. These documents should start with a paragraph clearly indicating the document on which comments are made and stating that the document is submitted in accordance with the provisions of paragraph 6.12.5 of this document. They should be made available at IMO Headquarters and on the IMO document website, in the Organization's three working languages, not later than four weeks before the opening of the session;

.6 non-bulky information documents should be received by the Secretariat not later than nine weeks before the opening of the relevant session of a Committee or subsidiary body. They should not be translated and should be made available at IMO Headquarters and on the IMO document website not later than five weeks before the opening of the session. No action will be taken on the basis of an information document only, other than to take note of it;

.7 in addition and with reference to reports of subsidiary bodies on the basis of which a Committee is normally invited to take action, every possible effort should be made to ensure that such reports are made available at IMO Headquarters and on the IMO document website, in the Organization's three working languages, not later than five weeks before the opening of the session; and

.8 in the case of basic documents submitted to a Committee reporting on urgent matters emanating from sessions of subsidiary bodies referred to in paragraph 6.9 which met less than 13 weeks before the Committee's session, such basic documents should include as an annex the text (e.g. draft Assembly resolutions, draft MSC circulars) on which the Committee will be invited to take action.

6.13 The Secretariat should make every effort to ensure the timely posting of documents on the IMO document website. Member States and international organizations should also endeavour to submit documents as early as possible and not just by the relevant deadlines.

6.14 The Secretariat should strictly apply the above provisions concerning the submission of documents and not accept late submissions from Member States or international organizations. Any exemption from these provisions should have the prior authorization of the Chairman of the Committee concerned, following consultations with the Secretariat. In exceptional circumstances, requiring immediate action by the Committee, a relevant document
to that end consisting of no more than four pages should be received by the Secretariat not later than nine weeks before the opening of the session of the body concerned and be made available at IMO Headquarters, in the Organization’s three working languages, not later than five weeks before the opening of the session. The Committee would consider such a document only if it decides to do so at the opening of its session.

6.15 In the exceptional cases referred to in paragraph 6.9, when a subsidiary body invites a Committee to take action on urgent matters emanating from a session that took place less than nine weeks prior to the Committee's session, documents commenting on those urgent matters containing four pages or less should be processed if received by the Secretariat not later than seven weeks before the opening of any session of the Committee concerned. Such documents should start with a paragraph clearly indicating the document on which comments are made and stating that the document is submitted in accordance with the provisions of paragraph 6.15 of this document. They should be made available at IMO Headquarters, in the three working languages, not later than four weeks before the opening of the session.

7 OBSERVANCE OF THE DOCUMENT

This document shall be observed strictly. This will assist delegations in preparing adequately for each meeting and enhance their participation in the debate and decision-making process during meetings. It will also prevent delegations from experiencing difficulties when developing national positions on subjects on the agenda of the two Committees or their subsidiary bodies. In order to promote efficiency in the conduct of work overall, Committee members should ensure that their colleagues attending sessions of other committees are fully informed of the outcome of the meeting that they have attended. Committee members should also ensure that their experts attending meetings of subsidiary bodies and working, drafting or correspondence groups are adequately informed and instructed with regard to any action necessary to give effect to decisions made by the Committees.
ANNEX 1

INFORMATION REQUIRED IN SUBMISSIONS OF PROPOSALS
FOR INCLUSION OF AN OUTPUT

1 **IMO's objectives**: Provide evidence whether and how the proposal:
   .1 is within the scope of IMO's objective; and
   .2 is strictly related to the scope of the Strategic Plan and contributes to
   the implementation of the high-level actions established in the Strategic Plan.

2 **Need**: Demonstrate and document:
   .1 the need for the proposed output in terms of the risks or hazards which are
     considered necessary to be addressed;¹ and
   .2 the evidence to support the perceived need.

3 **Analysis of the issue**: Provide an analysis of the proposed measure, including an
   assessment of its practicability, feasibility and proportionality.

4 **Analysis of implications**: Provide an analysis of the implications of the proposal,
   addressing the cost to the maritime industry as well as the relevant legislative and
   administrative burdens (including the proposed method(s) of fulfilling any resulting
   administrative requirement).

5 **Benefits**: Provide evidence that the benefits vis-à-vis enhanced maritime safety,
   maritime security or protection of the marine environment expected to be derived from
   the inclusion of the new item justify the proposed action.

6 **Industry standards**: Provide information on whether adequate industry standards
   exist or are being developed and the intended relationship between such standards
   and the proposed output.

7 **Output**: Specify the intended output in SMART terms (specific, measurable,
   achievable, realistic, time-bound) including the scope of application.

8 **Human element**: Provide the completed checklist contained in MSC-MEPC.7/Circ.1
   to demonstrate that the human element has been sufficiently addressed.

9 **Urgency**: Provide, with reference to the current Strategic Plan and High-level Action
   Plan, evidence of:
   .1 the urgency of the proposed output including any proposal to include
     the proposed output on the biennial agenda; and
   .2 the date that the proposed output should be completed.

10 **Action required**: Specify the action required by the IMO organ.

¹ If the proposed output included the development of a new Convention or the amendment of an existing
    Convention then the principles contained within A.500(XII) and A.998(25) on the demonstration of
    a "compelling need" should be respected.
ANNEX 2

PROCEDURES FOR ASSESSING THE IMPLICATIONS OF CAPACITY-BUILDING REQUIREMENTS WHEN DEVELOPING NEW, OR AMENDING EXISTING, MANDATORY INSTRUMENTS

1 INTRODUCTION

1.1 Assembly resolution A.998(25) on Need for capacity-building for the development and implementation of new, and amendments to existing, instruments cautions that, unless the Council, the Committees and their subsidiary bodies adopt a cradle-to-grave approach in relation to matters concerning capacity building, technical cooperation and assistance, the chances of success in the ratification and effective implementation of IMO instruments may be reduced by the level of unpreparedness or lack of capacity that Member States, in particular small island developing States (SIDS) and least developed countries (LDCs), experience at the point when implementation of such instruments is urgently required. Therefore, the development of this procedure is in keeping with the provisions of that resolution.

1.2 The assessment of capacity-building implications for the implementation of new, and/or amendments to existing, instruments is an iterative process that begins with the acceptance of the preliminary proposal and runs in parallel up to the process of its implementation.

1.3 These procedures do not prevent States from taking additional actions in promoting the advancement of the objectives of capacity building through technical assistance or cooperation.

2 DEFINITIONS

For the purpose of these procedures, the following definitions apply:

2.1 Output is as defined in paragraph 2.4 of the document on Organization and method of work of the Maritime Safety Committee and the Marine Environment Protection Committee and their subsidiary bodies (MSC-MEPC.1/Circ.[…]).

2.2 Capacity building means sustainable social, economical or legal measures undertaken through various means for the purposes of a comprehensive transformation of the performance of an Administration or industry player so as to implement and therefore comply with new or amended instruments.

2.3 Technical assistance is a methodology for providing capacity building through bilateral and/or multilateral exchange of technical knowledge, resources or expertise to a party which has requested such assistance in order to enhance its technical capability to implement existing, new or amended instruments.

2.4 Technical cooperation refers to a methodology for providing capacity building, through a multilateral effort, to a group of cooperating countries of a particular region in the form of training and exchange of expertise, knowledge and information, in support of their efforts aimed at promoting the implementation of existing, new and/or amended instruments.

2.5 Instruments refers to IMO conventions and other treaties.
3 PURPOSE AND OBJECTIVES

3.1 The purpose of these procedures is to give effect to resolution A.998(25), aimed at enhancing efforts to promote universal implementation of IMO instruments.

3.2 These procedures are intended to assist in the identification and assessment of capacity-building implications in the following cases:

   .1 when a Committee has accepted a proposal for an unplanned output and/or on approval by a Committee of a new instrument;

   .2 during implementation of new instruments or amended instruments; and

   .3 during the scheduling of capacity-building measures or activities.

3.3 These procedures apply to the Committees of the Organization and constitute a specific implementation response to resolution A.998(25).

3.4 These procedures aim at:

   .1 promoting universal ratification and compliance with newly adopted IMO instruments;

   .2 improving the level and quality of implementation of new and/or amended instruments; and

   .3 promoting, as far as possible, a balanced level of implementation of new instruments.

4 PROCEDURE

4.1 The Committees should conduct an assessment of capacity-building implications by following the procedure in the flow chart in appendix 1 of these procedures.

4.2 Assessments of capacity-building implications should be initiated on the acceptance of a proposal for an unplanned output.

Preliminary assessment of capacity-building implications

4.3 In order to facilitate the assessment of capacity-building implications by a Committee, its Vice-Chairman should, in consultation with the Chairman and assisted by the Secretariat, undertake a preliminary assessment of capacity-building implications, using the checklist for assessing the need for capacity building contained in appendix 2 of these procedures.

4.4 The outcome of the preliminary assessment should be submitted to the Committee concerned for consideration. This should contain the Vice-Chairman's appraisal of whether there are or will be capacity-building implications or need for technical assistance; a list of possible implications; and recommendations on the way forward.
Assessment of capacity-building implications

4.5 Following the preliminary assessment, the Committee should, if necessary, decide to convene the Ad hoc Capacity-building Needs Analysis Group (ACAG) to be chaired by the Vice-Chairman of that Committee. The ACAG should consider the preliminary assessment, taking into account comments and any further submissions thereto and, if appropriate, conduct further assessment and present its report and recommendations to the Committee.

4.6 The ACAG may refer a matter through the Committee for further consideration by another organ.

Post-assessment of capacity-building implications for implementation of new measures

4.7 When new measures have been approved, the Committee may request the ACAG to:

.1 conduct a post-assessment exercise using the criteria and mechanism contained in appendix 3 of these procedures to identify issues that require special focus when implementing technical cooperation and assistance activities; and

.2 prepare, for the Committee's consideration, a draft circular describing the possible capacity-building implications and recommendations for a course of action, for consideration by the Organization, the membership and/or industry.

5 TERMS OF REFERENCE OF THE ACAG

In conducting its assessment of capacity building, the ACAG should be guided by the following terms of reference:

.1 consider a preliminary assessment of capacity-building and technical assistance actions;

.2 conduct an assessment and, when new measures have been approved, a post-assessment, of the capacity-building actions that may be included in the technical assistance or technical cooperation required by Administrations for the implementation of the instrument;

.3 in consultation with the industry and non-governmental organizations, conduct an assessment and, on implementing new measures, a post-assessment, of the capacity-building actions that may be required or expected of the shipping industry for the implementation of the instrument; and

.4 advise the Committee concerned of the implications for capacity building relating to a new instrument or a proposed amendment to an existing instrument, whichever is being considered.
APPENDIX 1

Identification of capacity-building implications flow chart

Committee accepts output

IMO body works on output

Vice-Chairman develops preliminary assessment
Paragraph 4.3

In consultation with the Chairman and Secretariat

Vice-Chairman submits preliminary assessment to Committee
Paragraph 4.4

To include preliminary assessment and comments made by Member States and NGOs

Does the Committee determine the need for an ACAG?
Paragraph 4.5

ACAG considers available information
Paragraph 4.5

ACAG conducts assessment
Paragraph 4.5

ACAG submits assessment to Committee
Paragraph 4.5

Committee approves new measures

Does the output implement new measures?
Paragraph 4.7

ACAG conducts post-assessment
Paragraph 4.7.1

ACAG submits a draft circular of capacity-building implications to the Committee
Paragraph 4.7.2

Committee adopts new measures

Committee considers and, if approved, issues circular

https://edocs.imo.org/Final Documents/English/MSC 96-25-ADD.1 (E).docx
APPENDIX 2

Checklist for the identification of capacity-building implications

1  For Administrations

☐ Is new legislation required?
☐ Is there a requirement for new equipment and/or systems?
  o  Does equipment manufacturing capacity exist internationally?
  o  Do equipment repair/servicing facilities exist internationally?
  o  Is there capacity to develop new systems?
☐ Will the implementation require additional financial resources?
☐ Is there a need for additional human resources or new skills?
☐ Will there be a need to upgrade current infrastructure?
☐ Is there enough lead time towards implementation?
☐ Will a rapid implementation procedure be adopted?
☐ Is there a substantial modification of existing standards?
☐ Will a guide to implementation be needed?

2  For the industry

☐ Would the industry require new and/or enhancement of existing systems?
  o  Does capacity exist internationally to develop new systems?
☐ Is there a need for additional training of seafarers?
  o  Do related and validated training courses exist?
  o  Are sufficient simulation training courses available internationally?
☐ Will there be a requirement for new equipment?
  o  Does manufacturing capacity exist internationally?
☐ Is there repair/servicing and/or retrofitting and does maintenance capacity exist internationally?
APPENDIX 3

Checklist of issues requiring special focus when developing capacity building related to the implementation of new measures

<table>
<thead>
<tr>
<th>Capacity-building Measures Form</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Instrument</strong></td>
</tr>
<tr>
<td><strong>Measure number</strong></td>
</tr>
</tbody>
</table>
| **Required for** | ☐ Administration  
☐ Industry |
| **Implementation** | ☐ Prior to adoption  
☐ Once adopted  
☐ Prior to entry into force  
☐ Once ratified  
☐ Phased in |
| **Description of capacity-building activity needed for the implementation of new measures:** |
| ______________________________________________________________ |
| ______________________________________________________________ |
| ______________________________________________________________ |
**ANNEX 3**

**FORMAT 1: BIENNIAL STATUS REPORT**

<table>
<thead>
<tr>
<th>Output number</th>
<th>Description</th>
<th>Target completion year</th>
<th>Parent organ(s)</th>
<th>Associated organ(s)</th>
<th>Coordinating organ</th>
<th>Status of output for Year 1</th>
<th>Status of output for Year 2</th>
<th>References</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tbody>
</table>

**Notes:**

- When individual outputs contain multiple deliverables, the format should report on each individual deliverable.
- The target completion year should be specified as a year, or indicate that the item is annual or continuous. This should not indicate a number of sessions.
- The entries under the "Status of output" columns are to be classified as follows:
  - "completed" signifies that the output for the year in question has been duly finalized;
  - "in progress" signifies that work on the output has been progressed, and that finalization is expected in the target completion year;
  - "ongoing" signifies that the outputs relate to work of the respective IMO organs that is a permanent or continuous task;
  - "postponed" signifies that the respective IMO organ has decided to defer the production of relevant outputs to another time (for example, until the receipt of corresponding submissions) and accordingly that the output has been introduced on the post-biennial agenda;
  - "extended" signifies that further work is necessary and that the output will not be finalized as planned; and
  - due to the nature of annual outputs, the status can either be "completed" or "postponed".
- References should be made to the relevant part of the organ's report on this item.
## FORMAT 2: POST-BIENNIAL AGENDAS OF COMMITTEES

### [NAME OF COMMITTEE]

<table>
<thead>
<tr>
<th>Number</th>
<th>Biennium&lt;sup&gt;e&lt;/sup&gt;</th>
<th>Reference to High-level Actions</th>
<th>Description</th>
<th>Parent organ(s)</th>
<th>Associated organ(s)</th>
<th>Coordinating organ</th>
<th>Timescale</th>
<th>Reference</th>
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</tbody>
</table>

**Notes:**

<sup>e</sup> Biennium when the output was placed on the post-biennial agenda.
ANNEX 4

CURRENT ARRANGEMENTS IN THE SECRETARIAT FOR THE PRODUCTION OF WORKING PAPERS DURING MEETINGS

1 The details of how to handle the preparation of working papers produced during meetings, which are agreed at a coordination meeting held between the Conference Division and the relevant technical division(s) during the week preceding each meeting, will be conveyed by the Secretary of the IMO body to the Chairman of that body, as well as the Chairmen of the working and drafting groups.

2 To ensure that all working papers, including the draft report, are available when needed in all three working languages, these documents should be as concise as possible, with a limited number of pages containing new text. The following provisions apply:

 .1 Advance text

 Whenever possible, for working/drafting group reports, advance text should be provided to the translation sections. This could be whole annexes or documents prior to the meeting, or parts thereof submitted as the work of the groups progresses.

 .2 Final text

 Final text should be delivered to the translation sections as early as possible in the course of the meeting week as follows:

 .1 Working papers – these should be delivered no later than 9 a.m. on the day of the report night, so that they may be processed during the day shift.

 .2 Draft report – the night shift is to be dedicated to the processing of the draft report and will end at 1 a.m. on the following day. In order to meet the established deadline, items for the draft report not delivered throughout the week should be sent to the translation sections as early as possible on the report night, with the last remaining item to be delivered no later than 11 p.m.
ANNEX 5

CHECKLIST FOR IDENTIFYING ADMINISTRATIVE REQUIREMENTS

This checklist should be used when preparing the analysis of implications required in submissions of proposals for inclusion of outputs. For the purpose of this analysis, the term “administrative requirements” is defined in resolution A.1043(27), i.e. administrative requirements are an obligation arising from future IMO mandatory instruments to provide or retain information or data.

Instructions:

(A) If the answer to any of the questions below is YES, the Member State proposing an output should provide supporting details on whether the requirements are likely to involve start-up and/or ongoing costs. The Member State should also give a brief description of the requirement and, if possible, provide recommendations for further work (e.g. would it be possible to combine the activity with an existing requirement?).

(B) If the proposal for the output does not contain such an activity, answer NR (Not required).

(C) For any administrative requirement, full consideration should be given to electronic means of fulfilling the requirement in order to alleviate administrative burdens.

<table>
<thead>
<tr>
<th></th>
<th>Question</th>
<th>NR</th>
<th>Yes</th>
<th>Start-up</th>
<th>Ongoing</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Notification and reporting?</td>
<td>NR</td>
<td>Yes</td>
<td>□ Start-up</td>
<td>□ Ongoing</td>
</tr>
<tr>
<td></td>
<td>Reporting certain events before or after the event has taken place, e.g. notification of voyage, statistical reporting for IMO Members</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Description of administrative requirement(s) and method of fulfilling it: (if the answer is yes)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2.</td>
<td>Record keeping?</td>
<td>NR</td>
<td>Yes</td>
<td>□ Start-up</td>
<td>□ Ongoing</td>
</tr>
<tr>
<td></td>
<td>Keeping statutory documents up to date, e.g. records of accidents, records of cargo, records of inspections, records of education</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Description of administrative requirement(s) and method of fulfilling it: (if the answer is yes)</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>3.</td>
<td>Publication and documentation?</td>
<td>NR</td>
<td>Yes</td>
<td>□ Start-up</td>
<td>□ Ongoing</td>
</tr>
<tr>
<td></td>
<td>Producing documents for third parties, e.g. warning signs, registration displays, publication of results of testing</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Description of administrative requirement(s) and method of fulfilling it: (if the answer is yes)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.</td>
<td>Permits or applications?</td>
<td>NR</td>
<td>Yes</td>
<td>□ Start-up</td>
<td>□ Ongoing</td>
</tr>
<tr>
<td></td>
<td>Applying for and maintaining permission to operate, e.g. certificates, classification society costs</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Description of administrative requirement(s) and method of fulfilling it: (if the answer is yes)</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>5.</td>
<td>Other identified requirements?</td>
<td>NR</td>
<td>Yes</td>
<td>□ Start-up</td>
<td>□ Ongoing</td>
</tr>
<tr>
<td></td>
<td>Description of administrative requirement(s) and method of fulfilling it: (if the answer is yes)</td>
<td></td>
<td></td>
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</tbody>
</table>
ANNEX 6

GUIDELINES FOR CONSIDERING AND REVIEWING
THE OUTCOMES OF FSA STUDIES

Purpose

1. The purpose of these guidelines is to assist the committees in considering and reviewing the outcomes (i.e. RCOs or other recommendations) of FSA studies. These guidelines provide a bridge between the FSA Guidelines (MSC-MEPC.2/Circ.12) and the document on Application of the Strategic Plan and the High-level Action Plan of the Organization.

Background

2. The FSA Guidelines (MSC-MEPC.2/Circ.12) adequately cover the procedures to manage outcomes of an FSA study from initial submission to the committee through the report of the FSA Experts Group to the committee.

3. The document on Application of the Strategic Plan and the High-level Action Plan of the Organization contains guidance on how the committees may consider placing new outputs on the biennial agenda of the different bodies.

Guidance for Committees

4. Upon receipt of the outcomes of an FSA study the committees should conduct a preliminary assessment, and the committees may decide to:

   .1 reject an outcome without any further action; or

   .2 review the information submitted with an outcome in order to determine equivalence to the requirements for submitting proposals for outputs.

5. Based on paragraph 4.2 above, the committees may decide to:

   .1 accept the information submitted with the outcome as equivalent to a proposal for an output, place the item on the biennial agenda or post-biennial agenda, and forward the outcome to the cognizant sub-committee or other bodies concerned for technical review and advice, and possible implementation; or

   .2 request submission of a proposal for an output.

6. To enable the committees to carry out proper use of recommendations contained in FSA studies, the decision flowchart (see figure 1) should be used to guide consistent management of outcomes.
Figure 1 – Flowchart for committees’ management of outcomes (i.e. RCOs or other recommendations from an FSA study)

** MSC 96/25/Add.1 **
Annex 24, page 36
## ANNEX 25

### BIENNIAL STATUS REPORTS OF THE SUB-COMMITTEES

<table>
<thead>
<tr>
<th>Output number</th>
<th>Description</th>
<th>Target completion year</th>
<th>Parent organ(s)</th>
<th>Associated organ(s)</th>
<th>Coordinating organ(s)</th>
<th>Status of output for Year 1</th>
<th>Status of output for Year 2</th>
<th>References</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1.2.3</td>
<td>Unified interpretation of provisions of IMO safety, security, and environment-related Conventions</td>
<td>Continuous</td>
<td>MSC/MEPC</td>
<td>III/PPR/CCC/SDC/SSE/NCSR</td>
<td></td>
<td></td>
<td></td>
<td>MSC 78/26, paragraph 22.12</td>
</tr>
<tr>
<td>Notes:</td>
<td>The Assembly, at its twenty-eighth session, had expanded the output to include all proposed unified interpretations to provisions of IMO safety, security, and environment-related Conventions.</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>2.0.1.5</td>
<td>Amendments to SOLAS regulations II-2/20.2 and II-2/20.1 to clarify the fire safety requirements for cargo spaces containing vehicles with fuel in their tanks for their own propulsion</td>
<td>2017</td>
<td>MSC</td>
<td>SSE</td>
<td>CCC</td>
<td></td>
<td></td>
<td>MSC 96/25, paragraph 23.6</td>
</tr>
<tr>
<td>Notes:</td>
<td>New output approved by MSC 96. Pending endorsement by C116.</td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>5.2.1.2</td>
<td>Amendments to the IGF Code and development of guidelines for low-flashpoint fuels</td>
<td>2016</td>
<td>MSC</td>
<td>HTW/PPR/SDC/SSE</td>
<td>CCC</td>
<td></td>
<td></td>
<td>MSC 94/21, paragraphs 18.5 and 18.6; MSC 96/25, paragraphs 10.1 to 10.3</td>
</tr>
<tr>
<td>5.2.1.9</td>
<td>Safety requirements for carriage of liquefied hydrogen in bulk</td>
<td>2016</td>
<td>MSC</td>
<td>CCC</td>
<td></td>
<td></td>
<td></td>
<td>MSC 94/21, paragraph 18.3</td>
</tr>
</tbody>
</table>
### SUB-COMMITTEE ON CARRIAGE OF CARGOES AND CONTAINERS (CCC)

<table>
<thead>
<tr>
<th>Output number</th>
<th>Description</th>
<th>Target completion year</th>
<th>Parent organ(s)</th>
<th>Associated organ(s)</th>
<th>Coordinating organ(s)</th>
<th>Status of output for Year 1</th>
<th>Status of output for Year 2</th>
<th>References</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.2.1.26</td>
<td>Suitability of high manganese austenitic steel for cryogenic service and development of any necessary amendments to the IGC Code and IGF Code</td>
<td>2017</td>
<td>MSC</td>
<td>CCC</td>
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<td></td>
<td>MSC 96/25, paragraph 23.4</td>
</tr>
<tr>
<td>(New)</td>
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<tr>
<td>Notes:</td>
<td>New output approved by MSC 96. Pending endorsement by C116.</td>
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<tr>
<td>5.2.3.3</td>
<td>Amendments to the IMSBC Code and supplements</td>
<td>Continuous</td>
<td>MSC/MEPC</td>
<td>CCC</td>
<td></td>
<td></td>
<td></td>
<td>MSC 86/26, paragraph 7.2</td>
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<td>5.2.3.4</td>
<td>Amendments to the IMDG Code and supplements</td>
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<td>MSC</td>
<td>CCC</td>
<td></td>
<td></td>
<td></td>
<td>MSC 75/24, paragraph 7.36</td>
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<tr>
<td>7.1.1.1</td>
<td>Mandatory requirements for classification and declaration of solid bulk cargoes as harmful to the marine environment</td>
<td>2017</td>
<td>MEPC</td>
<td>CCC</td>
<td></td>
<td></td>
<td></td>
<td>MEPC 68/21, paragraphs 12.35, 17.16 and 17.17; MSC 95/22, paragraph 19.1; MEPC 69/21, paragraphs 13.13 to 13.21; MSC 96/25, paragraphs 10.14 and 10.15</td>
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</table>
## SUB-COMMITTEE ON CARRIAGE OF CARGOES AND CONTAINERS (CCC)

<table>
<thead>
<tr>
<th>Output number</th>
<th>Description</th>
<th>Target completion year</th>
<th>Parent organ(s)</th>
<th>Associated organ(s)</th>
<th>Coordinating organ(s)</th>
<th>Status of output for Year 1</th>
<th>Status of output for Year 2</th>
<th>References</th>
</tr>
</thead>
<tbody>
<tr>
<td>12.3.1.1</td>
<td>Consideration of reports of incidents involving dangerous goods or marine pollutants in packaged form on board ships or in port areas</td>
<td>Annual</td>
<td>MSC/MEPC</td>
<td>III</td>
<td>CCC</td>
<td></td>
<td></td>
<td>MSC 79/23, paragraph 12.7</td>
</tr>
<tr>
<td>14.0.1.1</td>
<td>Analysis and consideration of recommendations to reduce administrative burdens in IMO instruments including those identified by the SG-RAR</td>
<td>2017</td>
<td>Council</td>
<td>III/HTW/PPR/CCC/SDC/SSE/NCSR</td>
<td>MSC/MEPC/FAL/LEG</td>
<td></td>
<td></td>
<td>MSC 96/25, paragraphs 19.4.5, 19.4.9 and 19.4.10</td>
</tr>
</tbody>
</table>
## SUB-COMMITTEE ON HUMAN ELEMENT, TRAINING AND WATCHKEEPING (HTW)

<table>
<thead>
<tr>
<th>Output number</th>
<th>Description</th>
<th>Target completion year</th>
<th>Parent organ(s)</th>
<th>Associated organ(s)</th>
<th>Coordinating organ(s)</th>
<th>Status of output for Year 1</th>
<th>Status of output for Year 2</th>
<th>References</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.1.1.6</td>
<td>Amendments to SOLAS chapter II-1 and associated guidelines on damage control drills for passenger ships</td>
<td>2016</td>
<td>MSC</td>
<td>HTW</td>
<td>SDC</td>
<td>Completed</td>
<td></td>
<td>MSC 93/22, paragraphs 6.28.4, 20.5 and 20.14; MSC 96/25, paragraphs 11.17, 11.19 and 12.7</td>
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<tr>
<td>5.1.2.4</td>
<td>Revision of requirements for escape route signs and equipment location markings in SOLAS and related instruments</td>
<td>2016</td>
<td>MSC</td>
<td>HTW</td>
<td>SSE</td>
<td>No work requested</td>
<td></td>
<td>MSC 94/21, paragraph 18.24; HTW 3/19, paragraph 13.2</td>
</tr>
</tbody>
</table>

**Notes:** Target completion year extended to 2017 (MSC 96/25, paragraph 23.34).

<p>| 5.2.1.1       | Revised SOLAS regulation II-1/3-8 and associated guidelines (MSC.1/Circ.1175) and new guidelines for safe mooring operations for all ships | 2017 | MSC | HTW/SSE | SDC | No work requested | | MSC 95/22, paragraph 19.22 |
| 5.2.1.2       | Amendments to the IGF Code and development of guidelines for low-flashpoint fuels | 2016 | MSC | HTW/PPR/SDC/SSE | CCC | No work requested | | MSC 94/21, paragraphs 18.5 and 18.6; MSC 96/25, paragraphs 10.1 to 10.3 |</p>
<table>
<thead>
<tr>
<th>Output number</th>
<th>Description</th>
<th>Target completion year</th>
<th>Parent organ(s)</th>
<th>Associated organ(s)</th>
<th>Coordinating organ(s)</th>
<th>Status of output for Year 1</th>
<th>Status of output for Year 2</th>
<th>References</th>
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<td>Review of the MODU Code, LSA Code and MSC.1/Circ.1206/Rev.1</td>
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<td>Notes: Target completion year extended to 2017 (MSC 96/25, paragraph 23.34).</td>
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<td>Guidance for the implementation of the 2010 Manila Amendments</td>
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<td>HTW 3/19, section 5</td>
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<td>Review of STCW passenger ship-specific safety training</td>
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<td>HTW 3/19, paragraph 10.20</td>
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<td>Reports on unlawful practices associated with certificates of competency</td>
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<td>HTW 3/19, paragraphs 4.1 and 4.2</td>
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<td>5.2.5.2</td>
<td>Completion of the detailed review of the Global Maritime Distress and Safety System (GMDSS)</td>
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<td>MSC 90/28, paragraph 25.18; MSC 96/25, paragraph 14.9</td>
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<td>5.2.5.3</td>
<td>Draft Modernization Plan of the Global Maritime Distress and Safety System (GMDSS) (2018)</td>
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<td>Notes: MSC 96 approved the outcome of the GMDSS Review (output 5.2.5.2) and the continuation of the project in developing the Modernization Plan (this output).</td>
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### SUB-COMMITTEE ON HUMAN ELEMENT, TRAINING AND WATCHKEEPING (HTW)

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<td>Comprehensive review of the 1995 STCW-F Convention (2018)</td>
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<td>Revision of the Guidelines on Fatigue</td>
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<td>MSC 95/22, paragraph 19.18; HTW 3/19, paragraphs 8.13 and 8.14</td>
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<td>Revised Guidelines on the Implementation of the ISM Code by Administrations</td>
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<td>Analysis and consideration of recommendations to reduce administrative burdens in IMO instruments including those identified by the SG-RAR</td>
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<td>1.1.2.3</td>
<td>Unified interpretation of provisions of IMO safety, security, and environment-related Conventions</td>
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<td>MSC/MEPC</td>
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<td>Revised guidance on ballast water sampling and analysis</td>
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<td>MEPC 68/21, paragraphs 7.14 and 17.26</td>
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<td>Analysis of consolidated audit summary reports</td>
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<td>MEPC 61/24, paragraph 11.14.1; MSC 88/26, paragraph 10.8</td>
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<td>Updated Survey Guidelines under the Harmonized System of Survey and Certification (HSSC)</td>
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<td>Non-exhaustive list of obligations under instruments relevant to the IMO Instruments Implementation Code (III Code)</td>
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<td>MSC / MEPC</td>
<td>III</td>
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<td>MEPC 66/21, paragraph 18.8; MSC 94/21, paragraph 18.2.1; MEPC 68/21, paragraph 17.3</td>
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<td>7.1.3.1</td>
<td>Consideration and analysis of reports on alleged inadequacy of port reception facilities</td>
<td>Annual</td>
<td>MEPC</td>
<td>III</td>
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<td>Requirements for access to, or electronic versions of, certificates and documents, including record books required to be carried on ships</td>
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<td>Lessons learned and safety issues identified from the analysis of marine safety investigation reports</td>
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<td>Identified issues relating to the implementation of IMO instruments from the analysis of PSC data</td>
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<td>12.3.1.1</td>
<td>Consideration of reports of incidents involving dangerous goods or marine pollutants in packaged form on board ships or in port areas</td>
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### SUB-COMMITTEE ON NAVIGATION, COMMUNICATIONS AND SEARCH AND RESCUE (NCSR)

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<td>1.1.2.2</td>
<td>Response to matters related to the Radiocommunication ITU R Study Group and ITU World Radiocommunication Conference</td>
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<td>1.1.2.3</td>
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**Notes:** The Assembly, at its twenty-eighth session, had expanded the output to include all proposed unified interpretations to provisions of IMO safety, security, and environment-related Conventions.

<p>| 1.3.4.1       | Amendments to the IAMSAR Manual                                                                                                                | Continuous            | MSC             | NCSR                |                       | Ongoing                     |                                 | NCSR 3/29, section 23                                                                      |
| 2.0.3.1       | Further development of the provision of global maritime SAR services                                                                          | 2017                  | MSC             | NCSR                |                       | In progress                 |                                 | NCSR 3/29, section 22                                                                      |
| 2.0.3.2       | Guidelines on harmonized aeronautical and maritime search and rescue procedures, including SAR training matters                                 | 2017                  | MSC             | NCSR                |                       | In progress                 |                                 | NCSR 3/29, section 21                                                                      |
| 2.0.3.3       | Revised guidelines for preparing plans for cooperation between search and rescue services and passenger ships (MSC.1/Circ.1079)            | 2017                  | MSC             | NCSR                |                       | In progress                 |                                 | MSC 95/22, paragraph 19.11; NCSR 3/29, section 24                                             |</p>
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<td>III</td>
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<td>In progress</td>
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<td>MSC 96/25, paragraph 14.11</td>
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<td>5.2.4.1</td>
<td>Routeing measures and mandatory ship reporting systems</td>
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<td>NCSR</td>
<td>Ongoing</td>
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<td>MSC 96/25, paragraphs 14.2 to 14.5</td>
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<td>NCSR</td>
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<td>NCSR 3/29, section 7 and annex 6</td>
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<td>5.2.4.3</td>
<td>Amendment to the General Provisions on Ships' Routeing (resolution A.572(14)) on establishing multiple structures at sea</td>
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<td>NCSR 3/29, section 4 and annex 5</td>
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<td>5.2.4.4</td>
<td>Interconnection of NAVTEX and Inmarsat SafetyNET receivers and their display on Integrated Navigation Display Systems</td>
<td>2016</td>
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Notes: Extended to 2017, to wait for the outcome of outputs 5.2.6.1 and 5.2.6.2 before concluding or finalizing this output.

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<tr>
<td>5.2.4.5</td>
<td>Guidelines associated with multi-system shipborne radionavigation receivers dealing with the harmonized provision of PNT data and integrity information</td>
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<td>NCSR 3/29, section 8</td>
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<td>5.2.4.6</td>
<td>Recognition of Galileo as a component of the WWRNS</td>
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<td>5.2.5.1</td>
<td>Updating of the GMDSS Master Plan and guidelines on MSI (maritime safety information)</td>
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<td>Completion of the detailed review of the Global Maritime Distress and Safety System (GMDSS)</td>
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<td>MSC 90/28, paragraph 25.18; MSC 96/25, paragraph 14.9</td>
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Notes: MSC 96 approved the outcome of the GMDSS Review (output 5.2.5.2) and the continuation of the project in developing the Modernization Plan (this output).

| 5.2.5.4       | Developments in GMDSS satellite services                                    | Continuous             | MSC             | NCSR                | Ongoing               |                            |                            | MSC 96/25, paragraph 14.17                                               |

Notes: Description changed from "Analysis of information on developments in Inmarsat and Cospas-Sarsat" to "Developments in GMDSS satellite services".

<p>| 5.2.5.5       | Revised Performance Standards for EPIRBs operating on 406 MHz (resolution A.810(19)) to include Cospas-Sarsat MEOSAR and second-generation beacons | 2017                   | MSC             | NCSR                | In progress           |                            |                            | NCSR 3/29, section 20                                                   |</p>
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<td>Performance Standards for ship-borne GMDSS equipment to accommodate additional providers of GMDSS satellite services</td>
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<td>5.2.5.7</td>
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<td>In progress</td>
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<td>MSC 96/25, paragraph 14.7</td>
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<td>5.2.5.8</td>
<td>Review SOLAS chapter IV and appendix (Certificates: Forms P, R and C) to accommodate additional mobile satellite systems</td>
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<td>Additional modules to the Revised Performance Standards for Integrated Navigation Systems (INS) (resolution MSC.252(83) relating to the harmonization of bridge design and display of information</td>
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<td>NCSR 3/29, section 6</td>
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<td>Guidelines for the harmonized display of navigation information received via communications equipment</td>
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<td>Revised Guidelines and criteria for ship reporting systems (resolution MSC.43(64))</td>
<td>2017</td>
<td>MSC</td>
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<td>NCSR 3/29, section 10</td>
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<td>Designated Special Areas and PSSAs and their associated protective measures</td>
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<td>MEPC</td>
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<td>MEPC 68/21, paragraph 10.11</td>
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### SUB-COMMITTEE ON SHIP DESIGN AND CONSTRUCTION (SDC)

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<td>MSC 78/26, paragraph 22.12; SDC 3/21, section 14</td>
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**Notes:** The Assembly, at its twenty-eighth session, had expanded the output to include all proposed unified interpretations to provisions of IMO safety, security, and environment-related Conventions.

| 2.0.1.1       | Amendments to the ESP Code | Continuous | MSC | SDC | Ongoing | | | MSC 91/22, paragraph 19.24; SDC 3/21, section 13 |

| 5.1.1.1       | Guidelines on safe return to port for passenger ships | 2016 | MSC | SDC | Completed | | | MSC 81/25, paragraph 23.54; MSC 96/25, paragraph 11.10 |

| 5.1.1.3       | Amendments to SOLAS and FSS Code to make evacuation analysis mandatory for new passenger ships and review of the Recommendation on evacuation analysis for new and existing passenger ships | 2016 | MSC | SDC | Extended | | | MSC 83/28, paragraph 25.25; MSC 93/22, paragraph 20.11; MSC 96/25, paragraph 11.13; MSC 96/25, paragraph 11.15 |

**Notes:** Target completion year extended to 2017 (MSC 96/25, paragraph 23.25).
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<td>Amendments to SOLAS chapter II-1 and associated guidelines on damage control drills for passenger ships</td>
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<td>HTW</td>
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<td>MSC 93/22, paragraphs 6.28.4, 20.5 and 20.14; MSC 96/25, paragraphs 11.17, 11.19 and 12.7</td>
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<td>Revised SOLAS regulation II-1/3-8 and associated guidelines (MSC.1/Circ.1175) and new guidelines for safe mooring operations for all ships</td>
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<td>MSC</td>
<td>HTW/SSE</td>
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<td>Amendments to the IGF Code and development of guidelines for low-flashpoint fuels</td>
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<td>HTW/PPR/SDC/SSE</td>
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<td>MSC 94/21, paragraphs 18.5 and 18.6; MSC 96/25, paragraphs 10.1 to 10.3</td>
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<td>5.2.1.4</td>
<td>Mandatory instrument and/or provisions addressing safety standards for the carriage of more than 12 industrial personnel on board vessels engaged on international voyages</td>
<td>2017</td>
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<td>SDC</td>
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<td>Revised SOLAS regulations II-1/13 and II-1/13-1 and other related regulations for new ships</td>
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<td>Revision of section 3 of the Guidelines for damage control plans and information to the master (MSC.1/Circ.1245) for passenger ships</td>
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<td>5.2.1.7</td>
<td>Computerized stability support for the master in case of flooding for existing passenger ships</td>
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<td>MSC</td>
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Notes: Target completion year extended to 2017 (MSC 96/25, paragraph 23.25).

<p>| 5.2.1.12     | Finalization of second generation intact stability criteria (2019)            | 2017                   | MSC             | SDC                 |                       | In progress                |                             | MSC 85/26, paragraphs 12.7 and 23.42; SDC 3/21, section 6               |
| 5.2.1.13     | Amendments to SOLAS regulations II-1/6 and II-1/8-1                          | 2017                   | MSC             | SDC                 |                       | In progress                |                             | MSC 85/26, paragraph 23.35; MSC 96/25, paragraph 11.4                   |
| 5.2.1.15     | Consequential work related to the new Code for ships operating in polar waters | 2017                   | MSC/MEPC        | PPR/SSE            | SDC                   | No work requested          |                             | MSC 93/22, paragraphs 10.44, 10.50 and 20.12; MSC 96/25, paragraph 3.77 |</p>
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<td>Guidelines for use of Fibre Reinforced Plastics (FRP) within ship structures</td>
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<td>Amendments to Part B of the 2008 IS Code on towing, lifting and anchor handling operations</td>
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<td>MSC 88/26, paragraph 23.36; MSC 96/25, paragraphs 3.94 and 3.95</td>
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<td>Code for the transport and handling of limited amounts of hazardous and noxious liquid substances in bulk on offshore support vessels</td>
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<td>SDC/SSE</td>
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<td>Analysis and consideration of recommendations to reduce administrative burdens in IMO instruments including those identified by the SG-RAR</td>
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<td>Amendments to SOLAS regulations II-2/20.2 and II-2/20-1 to clarify the fire safety requirements for cargo spaces containing vehicles with fuel in their tanks for their own propulsion</td>
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<td>Clarification of the requirements in SOLAS chapter II-2 for fire integrity of windows on passenger ships carrying not more than 36 passengers and special purpose ships with more than 60 (but no more than 240) persons on board</td>
<td>2017</td>
<td>MSC</td>
<td>SSE</td>
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<td>MSC 95/22, paragraph 19.30; SSE 3/16, paragraphs 7.8 and 7.10</td>
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<td>5.1.1.4</td>
<td>Development of life safety performance criteria for alternative design and arrangements for fire safety (MSC/Circ.1002)</td>
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<td>MSC</td>
<td>SSE</td>
<td>Completed</td>
<td>MSC 90/28, paragraph 25.12; SSE 3/16, paragraph 6.9</td>
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**Notes:** The Assembly, at its twenty-eighth session, had expanded the output to include all proposed unified interpretations to provisions of IMO safety, security, and environment-related Conventions.

**Notes:** New output approved by MSC 96. Pending endorsement by C116.
## COMMITTEE ON SHIP SYSTEMS AND EQUIPMENT (SSE)

<table>
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<td>Making the provisions of MSC.1/Circ.1206/Rev.1 mandatory</td>
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<td>2016</td>
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<td>Extended</td>
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<td>MSC 94/21, paragraph 18.24; SSE 3/16, paragraphs 10.5 to 10.8</td>
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<td>Revised SOLAS regulation II-1/3-8 and associated guidelines (MSC.1/Circ.1175) and new guidelines for safe mooring operations for all ships</td>
<td>2017</td>
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<td>5.2.1.10</td>
<td>Safety objectives and functional requirements of the Guidelines on alternative design and arrangements for SOLAS chapters II-1 and III</td>
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<td>Amendments to the Guidelines for vessels with dynamic positioning (DP) systems (MSC/Circ.645)</td>
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Notes: Target completion year extended to 2017 (MSC 96/25, paragraph 23.34).

| 5.2.1.14      | Review of the MODU Code, LSA Code and MSC.1/Circ.1206/Rev.1                  | 2016                   | MSC             | HTW                 | SSE                   | Extended                  |                           | MSC 93/22, paragraph 20.17; SSE 3/16, paragraphs 5.13 and 5.14           |

Notes: Target completion year extended to 2017 (MSC 96/25, paragraph 23.34).

| 5.2.1.15      | Consequential work related to the new Code for ships operating in polar waters | 2017                   | MSC/MEPC        | PPR/SSE             | SDC                   | No work requested         |                           | MSC 93/22, paragraphs 10.44, 10.50 and 20.12; MSC 96/25, paragraph 3.77 |
## COMMITTEE ON SHIP SYSTEMS AND EQUIPMENT (SSE)

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<td>Requirements for onboard lifting appliances and winches</td>
<td>2017</td>
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Notes: New output approved by MSC 96. Pending endorsement by C116.
ANNEX 26

PROVISIONAL AGENDAS FOR THE SUB-COMMITTEES

PROPOSED PROVISIONAL AGENDA FOR CCC 3

Opening of the session

1 Adoption of the agenda

2 Decisions of other IMO bodies

3 Amendments to the IGF Code and development of guidelines for low-flashpoint fuels (5.2.1.2)

4 Safety requirements for carriage of liquefied hydrogen in bulk (5.2.1.9)

5 Amendments to the IMSBC Code and supplements (5.2.3.3)

6 Amendments to the IMDG Code and supplements (5.2.3.4)

7 Amendments to SOLAS regulations II-2/20.2 and II-2/20-1 to clarify the fire safety requirements for cargo spaces containing vehicles with fuel in their tanks for their own propulsion*

8 Suitability of high manganese austenitic steel for cryogenic service and development of any necessary amendments to the IGC Code and IGF Code*

9 Mandatory requirements for classification and declaration of solid bulk cargoes as harmful to the marine environment (7.1.1.1)

10 Unified interpretation to provisions of IMO safety, security and environment-related Conventions (1.1.2.3)

11 Consideration of reports of incidents involving dangerous goods or marine pollutants in packaged form on board ships or in port areas (12.3.1.1)

12 Biennial agenda and provisional agenda for CCC 4

13 Election of Chairman and Vice-Chairman for 2017

14 Any other business

15 Report to the Committees

* Output number to be decided by the Council.
## PROPOSED PROVISIONAL AGENDA FOR HTW 4

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<tr>
<td>2</td>
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<tr>
<td>3</td>
<td>Decisions of other IMO bodies</td>
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<td>4</td>
<td>Validated model training courses (5.2.2.3)</td>
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<tr>
<td>5</td>
<td>Reports on unlawful practices associated with certificates of competency (5.2.2.4)</td>
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<tr>
<td>6</td>
<td>Guidance for the implementation of the 2010 Manila Amendments (5.2.2.1)</td>
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<td>7</td>
<td>Comprehensive review of the 1995 STCW-F Convention (5.4.1.1)</td>
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<td>8</td>
<td>Role of the Human Element</td>
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<td>9</td>
<td>Revision of the Guidelines on Fatigue (5.4.1.2)</td>
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<td>10</td>
<td>Draft Modernization Plan of the GMDSS (5.2.5.3)</td>
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<td>11</td>
<td>Amendments to the IGF Code and development of guidelines for low-flashpoint fuels (5.2.1.2)</td>
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<td>12</td>
<td>Revision of requirements for escape route signs and equipment location markings in SOLAS and related instruments (5.1.2.4)</td>
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<td>Revised SOLAS regulation II-1/3-8 and associated guidelines (MSC.1/Circ.1175) and new guidelines for safe mooring operations for all ships (5.2.1.1)</td>
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<td>Biennial agenda and provisional agenda for HTW 5</td>
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<td>Election of Chairman and Vice-Chairman for 2018</td>
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<td>Any other business</td>
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<td>17</td>
<td>Report to the Maritime Safety Committee</td>
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PROPOSED PROVISIONAL AGENDA FOR III 3

Opening of the session

1 Adoption of the agenda

2 Decisions of other IMO bodies

3 Consideration and analysis of reports on alleged inadequacy of port reception facilities (7.1.3.1)

4 Lessons learned and safety issues identified from the analysis of marine safety investigation reports (12.1.2.1)

5 Measures to harmonize port State control (PSC) activities and procedures worldwide (5.3.1.1)

6 Identified issues relating to the implementation of IMO instruments from the analysis of PSC data (12.1.2.2)

7 Analysis of consolidated audit summary reports (2.0.2.1)

8 Updated Survey Guidelines under the Harmonized System of Survey and Certification (HSSC) (5.2.1.17)

9 Non-exhaustive list of obligations under instruments relevant to the IMO Instruments Implementation Code (III Code) (5.2.1.20)

10 Unified interpretation of provisions of IMO safety, security, and environment-related Conventions (1.1.2.3)

11 Biennial status report and provisional agenda for III 4

12 Election of Chairman and Vice-Chairman for 2017

13 Any other business

14 Report to the Committees
PROPOSED PROVISIONAL AGENDA FOR NCSR 4

Opening of the session

1 Adoption of the agenda

2 Decisions of other IMO bodies

3 Routeing measures and mandatory ship reporting systems (5.2.4.1)

4 Updates to the LRIT system (5.2.4.2)

5 Interconnection of NAVTEX and Inmarsat SafetyNET receivers and their display on Integrated Navigation Display Systems (5.2.4.4)

6 Guidelines associated with multi-system shipborne radionavigation receivers dealing with the harmonized provision of PNT data and integrity information (5.2.4.5)

7 Additional modules to the Revised Performance Standards for Integrated Navigation Systems (INS) (resolution MSC.252(83) relating to the harmonization of bridge design and display of information (5.2.6.1)

8 Guidelines for the harmonized display of navigation information received via communications equipment (5.2.6.2)

9 Revised Guidelines and criteria for ship reporting systems (resolution MSC.43(64)) (5.2.6.3)

10 Performance Standards for shipborne GMDSS equipment to accommodate additional providers of GMDSS satellite services (5.2.5.6)

11 Updating of the GMDSS master plan and guidelines on MSI (maritime safety information) provisions (5.2.5.1)

12 Draft Modernization Plan of the Global Maritime Distress and Safety System (GMDSS) (5.2.5.3)

13 Analysis of developments in maritime radiocommunication systems and technology (5.2.5.7)

14 Review SOLAS chapter IV and appendix (Certificates: Forms P, R and C) to accommodate additional mobile satellite systems*

15 Response to matters related to the Radiocommunication ITU R Study Group (1.1.2.2)

16 Response to matters related to ITU World Radiocommunication Conference (1.1.2.2)

17 Measures to protect the safety of persons rescued at sea (5.1.2.2)

18 Developments in GMDSS satellite services (5.2.5.4)

* Output number to be decided by the Council.
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<td>Revised Performance Standards for EPIRBs operating on 406 MHz (resolution A.810(19)) to include Cospas-Sarsat MEOSAR and second generation beacons (5.2.5.5)</td>
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<tr>
<td>20</td>
<td>Further development of the provision of global maritime SAR services (2.0.3.1)</td>
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<tr>
<td>21</td>
<td>Guidelines on harmonized aeronautical and maritime search and rescue procedures, including SAR training matters (2.0.3.2)</td>
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<td>22</td>
<td>Amendments to the IAMSAR Manual (1.3.4.1)</td>
</tr>
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<td>23</td>
<td>Revised guidelines for preparing plans for cooperation between search and rescue services and passenger ships (MSC.1/Circ.1079) (2.0.3.3)</td>
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<td>24</td>
<td>Unified interpretation of provisions of IMO safety, security, and environment-related Conventions (1.1.2.3)</td>
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<td>25</td>
<td>Biennial status report and provisional agenda for NCSR 5</td>
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<td>28</td>
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Opening of the session

1 Adoption of the agenda

2 Decisions of other IMO bodies

3 Amendments to SOLAS regulations II-1/6 and II-1/8-1 (5.2.1.13)

4 Computerized stability support for the master in case of flooding for existing passenger ships (5.2.1.7)

5 Finalization of second generation intact stability criteria (5.2.1.12)

6 Amendments to SOLAS and FSS Code to make evacuation analysis mandatory for new passenger ships and review of the Recommendation on evacuation analysis for new and existing passenger ships (5.1.1.3)

7 Revision of section 3 of the Guidelines for damage control plans and information to the master (MSC.1/Circ.1245) for passenger ships (5.2.1.6)

8 Mandatory instrument and/or provisions addressing safety standards for the carriage of more than 12 industrial personnel on board vessels engaged on international voyages (5.2.1.4)

9 Amendments to the 2011 ESP Code (2.0.1.1)

10 Unified interpretation to provisions of IMO safety, security, and environment-related Conventions (1.1.2.3)

11 Revised SOLAS regulation II-1/3-8 and associated guidelines (MSC.1/Circ.1175) and new guidelines for safe mooring operations for all ships (5.2.1.1)

12 Guidelines for use of Fibre Reinforced Plastic (FRP) within ship structures (5.2.1.21)

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15 Any other business

16 Report to the Maritime Safety Committee
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1 Adoption of the agenda

2 Decisions of other IMO bodies

3 Safety objectives and functional requirements of the Guidelines on alternative design and arrangements for SOLAS chapters II-1 and III (5.2.1.10)

4 Making the provisions of MSC.1/Circ.1206/Rev.1 mandatory (5.1.2.1)

5 Uniform implementation of paragraph 6.1.1.3 of the LSA Code

6 Review the MODU Code, LSA Code and MSC.1/Circ.1206/Rev.1 (5.2.1.14)

7 Amendments to the FSS Code for CO₂ pipelines in under-deck passageways

8 Requirements for onboard lifting appliances and winches (5.2.1.22)

9 Amendments to the Guidelines for vessels with dynamic positioning (DP) systems (MSC/Circ.645) (5.2.1.11)

10 Revision of requirements for escape route signs and equipment location markings in SOLAS and related instruments (5.1.2.4)

11 Revised SOLAS regulations II-1/13 and II-1/13-1 and other related regulations for new ships (5.2.1.5)

12 Unified interpretation of provisions of IMO safety, security, and environment-related conventions (1.1.2.3)

13 Biennial status report and provisional agenda for SSE 5

14 Election of Chairman and Vice-Chairman for 2018

15 Any other business

16 Report to the Maritime Safety Committee

***

* Output number to be decided by the Council.
### ANNEX 27

**BIENNIAL STATUS REPORT OF THE MARITIME SAFETY COMMITTEE**

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<th>Output number</th>
<th>Description</th>
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<th>Parent organ(s)</th>
<th>Associated organ(s)</th>
<th>Coordinating organ(s)</th>
<th>Status of output for Year 1</th>
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<tr>
<td>1.1.1.1</td>
<td>Cooperate with the United Nations on matters of mutual interest, as well as provide relevant input/guidance</td>
<td>2017</td>
<td>Assembly</td>
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<td>Council</td>
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<tr>
<td>1.1.2.1</td>
<td>Cooperate with other international bodies on matters of mutual interest, as well as provide relevant input/guidance</td>
<td>2017</td>
<td>Assembly</td>
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<td>1.1.2.2</td>
<td>Response to matters related to the Radiocommunication ITU R Study Group and ITU World Radiocommunication Conference</td>
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<td>1.1.2.3</td>
<td>Unified interpretation of provisions of IMO safety, security, and environment-related Conventions</td>
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<td>III/PPR/CCC/ SDC/SSE/ NCSR</td>
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<td>MSC 78/26, paragraph 22.12</td>
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**Notes:** The Assembly, at its twenty-eighth session, had expanded the output to include all proposed unified interpretations to provisions of IMO safety, security, and environment-related Conventions.

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<td>Amendments to the ESP Code</td>
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<td>2.0.1.5</td>
<td>Amendments to SOLAS regulations II-2/20.2 and II-2/20.1 to clarify the fire safety requirements for cargo spaces containing vehicles with fuel in their tanks for their own propulsion</td>
<td>2017</td>
<td>MSC</td>
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<td>CCC</td>
<td>In progress</td>
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<td>MSC 96/25, paragraph 23.6</td>
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Notes: New output approved by MSC 96. Pending endorsement by C 116.

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<th>2.0.2.1</th>
<th>Analysis of consolidated audit summary reports</th>
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<th>MEPC 61/24, paragraph 11.14.1; MSC 88/26, paragraph 10.8</th>
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<td>Further development of the provision of global maritime SAR services</td>
<td>2017</td>
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<td>MSC 95/22, paragraph 19.11</td>
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<td>Guidelines on harmonized aeronautical and maritime search and rescue procedures, including SAR training matters</td>
<td>2017</td>
<td>MSC</td>
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<td>2.0.3.3</td>
<td>Revised guidelines for preparing plans for cooperation between search and rescue services and passenger ships (MSC.1/Circ.1079)</td>
<td>2017</td>
<td>MSC</td>
<td>NCSR</td>
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<td>3.4.1.1</td>
<td>Input on identifying emerging needs of developing countries, in particular SIDS and LDCs to be included in the ITCP</td>
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<td>TCC</td>
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<td>3.5.1.1</td>
<td>Identify thematic priorities within the area of maritime safety and security, marine environmental protection, facilitation of maritime traffic and maritime legislation</td>
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<td>3.5.1.2</td>
<td>Input to the ITCP on emerging issues relating to sustainable development and achievement of the MDGs</td>
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<td>4.0.1.3</td>
<td>Endorsed proposals for new outputs for the 2016-2017 biennium as accepted by the Committees</td>
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<td>4.0.2.1</td>
<td>Endorsed proposals for the development, maintenance and enhancement of information systems and related guidance (GISIS, websites, etc.)</td>
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<td>MSC/MEPC/FAL/LEG/TCC</td>
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<td>4.0.3.1</td>
<td>Development of a new strategic framework for the Organization for 2018-2023</td>
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### MARITIME SAFETY COMMITTEE (MSC)

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<td>4.0.5.1</td>
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<td>MSC 96/25, paragraph 22.13</td>
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<td>5.1.1.1</td>
<td>Guidelines on safe return to port for passenger ships</td>
<td>2016</td>
<td>MSC</td>
<td>SDC</td>
<td>Completed</td>
<td>MSC 81/25, paragraph 23.54; MSC 96/25, paragraph 11.10</td>
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<td>5.1.1.2</td>
<td>Clarification of the requirements in SOLAS chapter II-2 for fire integrity of windows on passenger ships carrying not more than 36 passengers and special purpose ships with more than 60 (but no more than 240) persons on board</td>
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<td>MSC</td>
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<td>In progress</td>
<td>MSC 95/22, paragraph 19.30</td>
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<td>5.1.1.3</td>
<td>Amendments to SOLAS and FSS Code to make evacuation analysis mandatory for new passenger ships and review of the Recommendation on evacuation analysis for new and existing passenger ships</td>
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<td>MSC</td>
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<td>MSC 83/28, paragraph 25.25; MSC 93/22, paragraph 20.11; MSC 96/25, paragraph 11.13; MSC 96/25, paragraph 11.15</td>
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**Notes:** Target completion year extended to 2017 (MSC 96/25, paragraph 23.25).
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<td>Development of life safety performance criteria for alternative design and arrangements for fire safety (MSC/Circ.1002)</td>
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<td>Passenger ship safety</td>
<td>2017</td>
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<td>MSC 96/25, paragraph 6.6</td>
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<td>5.1.1.6</td>
<td>Amendments to SOLAS chapter II-1 and associated guidelines on damage control drills for passenger ships</td>
<td>2016</td>
<td>MSC</td>
<td>HTW</td>
<td>SDC</td>
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<td>MSC 93/22, paragraphs 6.28.4, 20.5 and 20.14; MSC 96/25, paragraphs 11.17, 11.19 and 12.7</td>
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<td>5.1.2.1</td>
<td>Making the provisions of MSC.1/Circ.1206/Rev.1 mandatory</td>
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<td>MSC 95/22, paragraphs 12.36 and 19.29; MSC 96/25, paragraphs 3.82 and 3.86</td>
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<td>5.1.2.2</td>
<td>Measures to protect the safety of persons rescued at sea</td>
<td>2017</td>
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<td>III</td>
<td>NCSR</td>
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Notes: Target completion year extended to 2017 (MSC 96/25, paragraphs 8.15 and 23.34).
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<td>IMO's contribution to addressing Unsafe Mixed Migration by Sea</td>
<td>2017</td>
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<td>5.1.2.4</td>
<td>Revision of requirements for escape route signs and equipment location markings in SOLAS and related instruments</td>
<td>2016</td>
<td>MSC</td>
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<td>SSE</td>
<td>Extended</td>
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<td>MSC 94/21, paragraph 18.24</td>
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Notes: Target completion year extended to 2017 (MSC 96/25, paragraph 23.34).

| 5.2.1.1       | Revised SOLAS regulation II-1/3-8 and associated guidelines (MSC.1/Circ.1175) and new guidelines for safe mooring operations for all ships | 2017                   | MSC             | HTW/SSE            | SDC                   | In progress                |                               | MSC 95/22, paragraph 19.22      |
| 5.2.1.2       | Amendments to the IGF Code and development of guidelines for low-flashpoint fuels | 2016                   | MSC             | HTW/PPR/SDC/SSE   | CCC                   |                             |                               | MSC 94/21, paragraphs 18.5 and 18.6; MSC 96/25, paragraphs 10.1 to 10.3 |
| 5.2.1.3       | Revision of requirements for automatic sprinkler systems                      | 2016                   | MSC             |                    |                       |                             |                               |                                  |
### Output number | Description | Target completion year | Parent organ(s) | Associated organ(s) | Coordinating organ(s) | Status of output for Year 1 | Status of output for Year 2 | References |
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<tr>
<td>5.2.1.4</td>
<td>Mandatory instrument and/or provisions addressing safety standards for the carriage of more than 12 industrial personnel on board vessels engaged on international voyages</td>
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<td>MSC</td>
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<td>MSC 95/22, paragraphs 10.13 and 19.25; MSC 96/25, section 7</td>
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<td>5.2.1.5</td>
<td>Revised SOLAS regulations II-1/13 and II-1/13-1 and other related regulations for new ships</td>
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<td>5.2.1.6</td>
<td>Revision of section 3 of the Guidelines for damage control plans and information to the master (MSC.1/Circ.1245) for passenger ships</td>
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<td>MSC 93/22, paragraphs 6.28 and 20.15</td>
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<td>5.2.1.7</td>
<td>Computerized stability support for the master in case of flooding for existing passenger ships</td>
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<td>MSC 94/21, paragraph 18.20</td>
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**Notes:** Target completion year extended to 2017 (MSC 96/25, paragraph 23.25).
## MARITIME SAFETY COMMITTEE (MSC)

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<td>5.2.1.10</td>
<td>Safety objectives and functional requirements of the Guidelines on alternative design and arrangements for SOLAS chapters II-1 and III</td>
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<td>MSC 82/24, paragraph 3.92</td>
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<td>5.2.1.11</td>
<td>Amendments to the Guidelines for vessels with dynamic positioning (DP) systems (MSC/Circ.645)</td>
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**Notes:** Target completion year extended to 2017 (MSC 96/25, paragraph 23.34).

| 5.2.1.12      | Finalization of second generation intact stability criteria (2019)                                                                                                                                              | 2017                    | MSC             | SDC                |                       | In progress                  |                               | MSC 85/26, paragraphs 12.7 and 23.42 |
| 5.2.1.13      | Amendments to SOLAS regulations II-1/6 and II-1/8-1                                                                                                                                                             | 2017                    | MSC             | SDC                |                       | In progress                  |                               | MSC 85/26, paragraph 23.35; MSC 96/25, paragraph 11.4 |
| 5.2.1.14      | Review of the MODU Code, LSA Code and MSC.1/Circ.1206/Rev.1                                                                                                                                                     | 2016                    | MSC             | HTW               | SSE                   | Extended                  |                               | MSC 93/22, paragraph 20.17          |

**Notes:** Target completion year extended to 2017 (MSC 96/25, paragraph 23.34).
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Notes: Extended to 2017, to wait for the outcome of outputs 5.2.6.1 and 5.2.6.2 before concluding or finalizing this output.
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**Notes:** MSC 96 approved the outcome of the GMDSS Review (output 5.2.5.2) and the continuation of the project in developing the Modernization Plan (this output).

| 5.2.5.4       | Developments in GMDSS satellite services                                   | Continuous             | MSC              | NCSR                | Ongoing                |                             |                               | MSC 96/25, paragraph 14.17             |

**Notes:** Description changed from "Analysis of information on developments in Inmarsat and Cospas-Sarsat" to "Developments in GMDSS satellite services".
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<td>FAL.5/Circ.39/Rev.2; FAL 40/19, paragraphs 6.18 to 6.21; MEPC 68/21, paragraphs 13.2 and 17.26</td>
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<td>10.0.1.1</td>
<td>Verified goal-based new ship construction standards for tankers and bulk carriers</td>
<td>Continuous</td>
<td>MSC</td>
<td></td>
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<td>10.0.1.2</td>
<td>Consideration of development of goal-based ship construction standards for all ship types</td>
<td>2017</td>
<td>MSC/MEPC</td>
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<td>12.1.1.1</td>
<td>Review of FSA studies by the FSA Experts' Group</td>
<td>Continuous</td>
<td>MSC</td>
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<td>12.1.2.1</td>
<td>Lessons learned and safety issues identified from the analysis of marine safety investigation reports</td>
<td>Annual</td>
<td>MSC/MEPC</td>
<td>III</td>
<td></td>
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<td>MSC 92/26, paragraph 22.29</td>
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<tr>
<td>12.1.2.2</td>
<td>Identified issues relating to the implementation of IMO instruments from the analysis of PSC data</td>
<td>Annual</td>
<td>MSC/MEPC</td>
<td>III</td>
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<td>12.2.1.1</td>
<td>Revised Guidelines on the Implementation of the ISM Code by Administrations (resolution A.1071(28)) on training audits</td>
<td>2016</td>
<td>MSC</td>
<td>HTW</td>
<td></td>
<td>Completed</td>
<td></td>
<td>MSC 95/22, paragraph 19.5; MSC 96/25, paragraph 12.4</td>
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<td>12.3.1.1</td>
<td>Consideration of reports of incidents involving dangerous goods or marine pollutants in packaged form on board ships or in port areas</td>
<td>Annual</td>
<td>MSC/MEPC</td>
<td>III</td>
<td>CCC</td>
<td></td>
<td></td>
<td>MSC 79/23, paragraph 12.7</td>
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<tr>
<td>14.0.1.1</td>
<td>Analysis and consideration of recommendations to reduce administrative burdens in IMO instruments including those identified by the SG-RAR</td>
<td>2017</td>
<td>Council</td>
<td>III/HTW/PPR/CCC/SDC/CCC/SSE/NCSR</td>
<td>MSC/MEPC/FAL/LEG</td>
<td>In progress</td>
<td></td>
<td>MSC 96/25, paragraphs 19.4.5, 19.4.9 and 19.4.10</td>
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## ANNEX 28

### POST-BIENNIAL AGENDA OF THE MARITIME SAFETY COMMITTEE

<table>
<thead>
<tr>
<th>Number</th>
<th>Biennium&lt;sup&gt;1&lt;/sup&gt;</th>
<th>Reference to High-level Actions</th>
<th>Description</th>
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<tr>
<td>7</td>
<td>2012-2013</td>
<td>2.0.1</td>
<td>Mandatory application of the Performance standard for protective coatings for void spaces on bulk carriers and oil tankers</td>
<td>MSC</td>
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<td>MSC 76/23, paragraphs 20.41.2 and 20.48; DE 50/27, section 4</td>
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<td>8</td>
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<td>Performance standard for protective coatings for void spaces on all types of ships</td>
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<td>MSC 76/23, paragraphs 20.41.2 and 20.48</td>
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<td>9</td>
<td>2012-2013</td>
<td>2.0.1</td>
<td>Revision of the provisions for helicopter facilities in SOLAS and the MODU Code</td>
<td>MSC</td>
<td>SDC</td>
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<td>MSC 86/26, paragraph 23.39</td>
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<td>129</td>
<td>2016-2017</td>
<td>5.2.1</td>
<td>Guidelines for wing-in-ground craft</td>
<td>MSC</td>
<td>SDC</td>
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<td>2</td>
<td>MSC 88/26, paragraph 23.30; MSC 96/25, paragraph 23.25</td>
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<sup>1</sup> Biennium when the output was placed on the post-biennial agenda.
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<tr>
<td>130</td>
<td>2016-2017</td>
<td>5.2.1</td>
<td>Review SOLAS chapter II-1, parts B-2 to B-4, to ensure consistency with parts B and B-1 with regard to watertight integrity</td>
<td>MSC</td>
<td>SDC</td>
<td></td>
<td>3</td>
<td>MSC 96/25, paragraph 23.23</td>
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<td>42</td>
<td>2012-2013</td>
<td>5.2.1</td>
<td>Review of the 2009 Code on Alerts and Indicators</td>
<td>MSC</td>
<td>NCSR</td>
<td>SDC</td>
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<td>MSC 89/25, paragraph 22.25</td>
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<td>65</td>
<td>2012-2013</td>
<td>5.2.1</td>
<td>Application of amendments to SOLAS and related codes and guidelines</td>
<td>MSC</td>
<td></td>
<td></td>
<td>2</td>
<td>MSC 91/22, paragraphs 3.16 to 3.35</td>
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<td>76</td>
<td>2014-2015</td>
<td>5.2.1</td>
<td>Application of the Mandatory Code to non-SOLAS ships operating in polar waters</td>
<td>MSC</td>
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<td>Output 5.2.1.15</td>
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<td>90</td>
<td>2014-2015</td>
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<td>Amendments to the LSA Code for thermal performance of immersion suits</td>
<td>MSC</td>
<td>SSE</td>
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<td>131</td>
<td>2016-2017</td>
<td>5.2.4</td>
<td>Indian Regional Navigation Satellite System (IRNSS)</td>
<td>MSC</td>
<td>NCSR</td>
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<td>MSC 96/25, paragraph 23.17</td>
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<td>32</td>
<td>2012-2013</td>
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<td>Recommendations related to navigational sonar on crude oil tankers</td>
<td>MSC</td>
<td>SDC</td>
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<td>MSC 91/22, paragraph 19.23</td>
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<tr>
<td>38</td>
<td>2012-2013</td>
<td>5.2.5</td>
<td>Approval of the modernization plan of the Global Maritime Distress and Safety System (GMDSS)</td>
<td>MSC</td>
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<td>NCSR</td>
<td>2</td>
<td>MSC 90/28, paragraph 25.18; MSC 94/21, paragraph 9.26</td>
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<td>111</td>
<td>2014-2015</td>
<td>5.2.6</td>
<td>Guidelines on standardized modes of operation, S-mode</td>
<td>MSC</td>
<td></td>
<td>NCSR</td>
<td>2</td>
<td>MSC 95/22, paragraph 19.12.1</td>
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<td>112</td>
<td>2014-2015</td>
<td>5.2.6</td>
<td>Revised General requirements for shipborne radio equipment forming part of the Global Maritime Distress and Safety System (GMDSS) and for electronic navigational aids (resolution A.694(17)) relating to Built-In Integrity Testing (BIIT) for navigation equipment</td>
<td>MSC</td>
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<td>NCSR</td>
<td>2</td>
<td>MSC 95/22, paragraph 19.12.4</td>
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### MARITIME SAFETY COMMITTEE (MSC)

#### ACCEPTED POST-BIENNIAL OUTPUTS

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<tr>
<td>132</td>
<td>2016-2017</td>
<td>5.2.6</td>
<td>Develop guidance on definition and harmonization of the format and structure of Maritime Service Portfolios (MSPs)</td>
<td>MSC</td>
<td>NCSR</td>
<td></td>
<td>2</td>
<td>MSC 96/25, paragraph 23.14</td>
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</tbody>
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**References**

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1. Biennium refers to the two-year period specified for the biennial review.
STATEMENTS BY DELEGATIONS AND OBSERVERS

AGENDA ITEM 4

Statement by the delegation of Ukraine

"Ukraine is pleased to introduce document MSC 96/4/4.

Our paper identifies the compelling need to address now the risks to safety and security of navigation in maritime areas appertaining to the Crimean Peninsula.

It recommends that the Maritime Safety Committee develop and approve a draft Assembly resolution to help ship masters, operators, shipowners as well as flag states identify and address relevant safety and security risks and, thus, provide a general guidance on the implementation and interpretation of SOLAS chapter XI-2 and the ISPS Code.

Despite the UN General Assembly resolution 68/262 on Territorial integrity of Ukraine, the Russian Federation as an occupying power continues to impede the fulfilment of a number of Ukraine’s international obligations under the respective treaties and conventional instruments on part of the sovereign territory of Ukraine, including to provide for the safety and security of navigation, regulation of maritime traffic, safety of life at sea, search and rescue.

This delegation would like to recall that above-mentioned resolution, inter alia, calls on all States, international organizations, and specialized agencies, including IMO, to refrain from any action or dealing that might be interpreted as recognizing any alteration of the status of the Autonomous Republic of Crimea.

As a result of such internationally wrongful acts, the safety and security of navigation in the area of Crimea have been severely compromised. In particular, we would like to point out the following apparent implications:

First of all, in accordance with section A/16 of the ISPS Code, the Ministry of Infrastructure of Ukraine, as state authority responsible for ship and port facility security, had to withdraw port facility security plans for the seaports of Ukraine in the temporarily occupied territory of Crimea (see IMO Circular Letter No. 3604).

Our next point of concern is attempts of Russia to claim its control over maritime rescue coordination sub-centres of another country, namely in Kerch and Sevastopol, as well as Sevastopol and Kerch Coast GMDSS radio stations of Sea Area А1 that could have far-reaching consequences for conduct of search and rescue operations in the IMO recognized SAR area of Ukraine, protection of the marine environment as well as for safety and security of navigation, thus, putting life at sea in grave danger (IMO Circular Letter No. 3603).

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1 Statements have been included in this annex in the order in which they are listed in the report, sorted by agenda items, and in the language of submission (including translation into any other language if such translation was provided).
Third, provocative removal on 14 December 2015 by the Russian Side using a military force of two jack-up oil rigs and oil platform located on the continental shelf of Ukraine complements the list of proofs of Russian Federation's aggressive behaviour and its neglect of international law (IMO Circular Letter No. 3625).

Forth, notwithstanding the Ukrainian Side's decision to close its seaports and to limit navigation within its jurisdiction, commercial and warships flying the flag of the Russian Federation systematically enter the closed Ukrainian seaports and navigate without authorization in Ukrainian internal waters and territorial sea in the Black Sea and Azov Sea (IMO Circular Letters No.3477, 3490).

On top of that, in response to reiterated warnings by the Government of Ukraine ship masters have reacted by disconnecting the Automatic Identification System on ships when approaching Crimean seaports. Such actions are severe violations of the most significant IMO instrument, the SOLAS Convention (document MSC 95/21/5 submitted by Ukraine at the previous session of the Committee).

Last but not least, the Russian Federation continues to challenge SOLAS and the ISPS Code principles and to hold our values in contempt by presenting distorted statistical data in contradiction to information available in COMSAR and Maritime Security modules of GISIS (IMO Circular Letter No. 3603).

Given the significant uncertainty of this situation and its considerable implications for the safety and security of navigation, it would be in the interest of all flag States to address the above-mentioned issue and produce clear security guidance to ships operating in the area of Crimea.

Unprecedented actions of the Russian Federation that affect Ukraine's ability to effectively fulfil obligations under IMO Conventions on part of its sovereign territory have to be addressed by IMO also in order to create conditions to prevent possible occurrence of marine casualties and incidents in the region.

For instance, unlawful usurpation by Russia of navigational and hydrographic support of navigation in the Strait of Kerch has already led to number of serious marine casualties:

- on 30 October 2014 the railway ferry "Petrovsk" collided with the oil tanker "Sudak". Fortunately, the tanker was not loaded with oil products;
- on 7 October 2015 while attempting to tow a boat "Rumb", it capsized in the Strait of Kerch. Two crew members were considered to be missing as a result of the casualty;
- on 19 March 2016 the Turkish cargo vessel "Lira" collided in the Kerch Strait with a bridge pillar, which is being constructed unlawfully by the Russian Federation. As a result, one of the bridge’s pillars was completely destroyed and several others were badly damaged.

The proposed draft resolution is aimed at developing of safety and security advice for ships.

This delegation believes that the most appropriate way forward would be to consider all suggestions to the text of proposed preliminary draft Assembly resolution at the Working Group on Maritime Security with the aim of presenting the consolidated text for consideration at future sessions of the Committee."
Statement by the delegation of the Russian Federation

"Firstly, I would like to emphasize that all issues raised in the document submitted by the Ukrainian colleagues and which has been just introduced relate to the issues of state territory, jurisdiction and sovereignty. As far as I understand this has absolutely no connection to our Organization and let alone the Committee headed by you, Mr. Chairman.

Mr. Chairman, two years ago, realizing the right of self-determination that enshrined in the UN Charter, the people of Crimea decided that they did not want to share the same boat with Authorities of Ukraine who had conducted coup d’état by force and seized the power through military means. So the people of Crimea decided that they did not want this kind of Government and by means of a referendum expressed their desire to join the Russian Federation.

Russia accepted this decision. In accordance with international law (principles and norms), which is not something this Organization works with, and in accordance with the Russian legislation Crimea, including all its ports, became a part of the territory of the Russian Federation. Therefore the Russian Federation's sovereignty and jurisdiction extend to this area.

Mr. Chairman, the issue of the safety of navigation is dealt with and considered by the Russian Federation throughout its entire territory, including Crimea and the city of Sevastopol. In the ports of Crimea all necessary measures are provided for in accordance with requirements of international instruments to which Russia is a Party. We have seen the creation of the necessary management of ship traffic. We have seen the necessary search and rescue communication measures put in place. So these ports are fully up to standards in terms of requirements of the relevant international instruments. These ports have port security plans in place in accordance with the chapter XI-2 of SOLAS. These plans are even more comprehensive given that the Russian Federation has its own legislation in the sphere of transport security. These ports are now absolutely secure.

I think it needs to be noted that over the last 20 years the maritime ports of Crimea have been using equipment which was left over from the Soviet Union. This equipment has in no way been modernized or updated. Over the last two years in all ports completely new equipment has been installed, for example in the areas of search and rescue, communications and the monitoring of navigation.

Dear colleagues, a number of references have been made to maritime incidents by our Ukrainian colleague. This is a part of everyday maritime life. There is nothing exceptional here. Yes, there are occasions with incidents at sea. I think, you can find them everywhere in the world and this part of the world is not an exception.

Turning now to the document itself, we consider that it has no any relation to this Organization. We think it should in no way be considered by this Committee.

I would like to refer to the High-level action plan of the IMO and an output that mentioned in the Ukrainian document, they have nothing to do with the proposed draft resolution.

For the entire history of the Organization I cannot recall a single incident where it has considered an issue of territorial nature. The Ukrainian document in its very essence is making a proposal to become mixed up in an issue of territorial character. It is intended to drag you into the issue which this Organization has absolutely no relation to.
I would like to recall that the International Maritime Organization has its roots in the United Nations. The IMO is a Specialized Agency of the United Nations. The UN is constructed in such way that practically all issues of the world order are related to the UN and the territorial issues come under the mandate of other bodies within the UN. We would advise our Ukrainian colleagues to address their concern to the divisions of the UN that deal with territorial issues.

Mr. Chairman, I would urge all of us not to drag this Organization into discussion of those questions to which the IMO has absolutely no relation. This is something we have said a number of times.

We are deeply convinced that the IMO is a technical body and it should retain its nature.

Mr. Chairman, we have very full agenda. There are many pressing technical maritime issues we need to address to. We should help maritime world and not hamper it as my Ukrainian colleagues suggest.

In conclusion, Mr. Chairman, we consider another attempt by the Ukraine to involve the IMO in political discussion as illegal, and it is not related to the work of our Organization. Neither now nor in the future; these issues should not be considered here."

Statement by the delegation of Georgia

"This delegation would like to reiterate its support to the Statement of the distinguished delegate of Ukraine with regards draft assembly resolution "Safety and Security of Navigation in Maritime Areas Adjacent to the Autonomous Republic of Crimea and the City of Sevastopol, Ukraine" submitted for further consideration.

Georgia attaches high importance to the safety and security of navigation in the Black Sea and the protection of marine environment. In order to ensure the above-mentioned pillars of international shipping, Member States of this Organization have to strive to implement their international undertakings in good faith and to establish effective mechanisms to meet core objective of IMO – to promote safe, secure, environmentally sound, efficient and sustainable shipping through cooperation. However, unilateral actions by some of the Member States undermine those foundation principles IMO had stood for since its establishment.

By this token, we would like to draw the attention of distinguished delegates of this committee to the unlawful navigation practice over the waters adjacent to Russian occupied territory of Georgian Region Abkhazia. Due to the occupation, Georgian authorities are deprived of the possibility to control an illegal navigation, despite the fact that Georgian territorial sea at Abkhazian section is a part of Georgian jurisdiction as internationally recognized territory of a sovereign country.

The Mission of this Organization as derived from its founding document is to ensure, that so called "black holes" and unregulated issues do not challenge international shipping. Moreover, IMO and its Member States, by ratifying IMO conventions agree not to adversely challenge the principles of maritime safety, security and the protection of marine environment, thus, ensuring a level playing field for all stakeholders concerned with the above-mentioned pillars. In this context reference to mere procedural requirements which might hinder the positive outcome of this very important document can be interpreted as agreeing to the alternative reality created by the Russian Federation.
In light of ongoing occupation of Abkhazian region of Georgia, this delegation fully agrees that establishment of effective mechanisms to fight those perilous practices, expressed by distinguished delegate of Ukraine in his statement, can never be justified by creating one-sided reality which does not conform to the requirements of IMO conventions and forces the Member States of IMO to forcibly omit from their international undertakings as a Flag, Coastal and Port State. This undoubtedly goes beyond the scope of the 1982 UN Convention on the Law of the Sea and any other treaty agreed by civilized nations, including within the frames of this Organization.

Georgia fully supports the proposal of the delegation of Ukraine to forward the suggested draft Assembly resolution as a basis to the Working Group on Maritime Security for further consideration with the aim of its approval during next sessions of the MSC."

**Statement by the delegation of the Netherlands**

"Two years on from the illegal annexation of the Autonomous Republic of Crimea and the city of Sevastopol by the Russian Federation, the European Union remains firmly committed to Ukraine's sovereignty and territorial integrity.

The European Union reiterates that it does not recognize and continues to condemn this violation of international law. It remains a direct challenge to international security, with grave implications for the international legal order that protects the unity and sovereignty of all states.

The European Union remains committed to fully implementing its non-recognition policy, including through restrictive measures. The EU calls again on UN Member States to consider similar non-recognition measures in line with the United Nations General Assembly's Resolution 68/262."

**Statement by the delegation of the United States**

"The United States has read Ukraine's paper, MSC 96/4/4, with great concern. The statement describes a situation that carries considerable implications for the safety and security of navigation in the area of Crimea. This situation was created by Russia's occupation and attempted annexation of Crimea, an internationally recognized part of Ukraine. Given that Crimea remains a part of Ukraine, Russia's actions have considerable implications for the safety and security of navigation. The United States reminds all Member States that Crimea is a part of Ukraine and that Russia's occupation presents hazards. The United States also advises caution to ships operating in this area and recommends that no ships dock in Russian-occupied Crimean ports.

The United States joins the international community in what is the near universal recognition of the reality in Ukraine: Crimea is a part of Ukraine. The United States does not recognize and continues to condemn the Russian Federation's occupation and attempted annexation of Crimea and Sevastopol. The United States remains committed to upholding the sovereignty and territorial integrity of Ukraine.

The United States questions whether the Committee should undertake work now on an Assembly resolution to be considered at the end of next year. If the Committee decides to do so, the work should be focused on those areas particularly within the Organization's competence. In this regard, we align ourselves with the statement of the distinguished delegate of the United Kingdom (which is not included in this annex)."
AGENDA ITEM 7

Statement by the delegation of Argentina

"La DA agradece los esfuerzos realizados por el Grupo de trabajo y en particular de su Presidente Miguel Nuñez. Si perjuicio de ello, la DA desea resaltar la preocupación que figura en el párrafo 6 del documento MSC 96/WP.15. En tal sentido, deseamos hacer constar en el informe del Comité MSC 96, que en caso que la recomendación contenida en el Anexo 1 al documento MSC 96/WP.15 llegare a resultar adoptada, desde el punto de vista de esta delegación, esa recomendación en nada afecta ni altera las obligaciones asumidas bajo el Convenio SOLAS ni sobre el alcance ni la interpretación a darle a tales obligaciones."

Statement by the delegation of Germany

"As reflected in paragraph 15 of the report of the working group (MSC 96/WP.7), some delegations had specific views on the legal concept followed. Germany would like to make a statement in this regard and asks that this statement be attached to the final report of the Committee.

Legally the interim solution for ships transporting more than twelve industrial personnel, as proposed by the group, is tied into the exemption regulation I/4 and the equivalency regulation I/5 of SOLAS. For this delegation using the exemption and equivalency regulations of chapter I for the interim solution is highly problematic.

Regulation I/4 allows for exemptions only in very specific situations; for ships which are not normally engaged on international voyages but which, in exceptional circumstances, are required to undertake a single international voyage and for ships embodying features of a novel kind where the application of provisions of chapters II-1, II-2, III and IV of SOLAS would seriously impede research into such features. Regulation I/5 allows to grant equivalencies for particular requirements only and when the administration is satisfied by trial or otherwise that the new provision is at least as effective as that required by SOLAS.

These specific regulations were never intended to allow for the replacement of the entire standard to which a ship is built and, more importantly, are not implemented that way by flag State administrations. Therefore it is this delegation’s view that regulations I/4 and I/5 do not apply to the interim solution for ships transporting more than twelve industrial personnel developed at this session.

To this delegation, due to the significant deviation from the way regulations I/4 and I/5 are currently interpreted and implemented, implementing the drafted interim solution seems rather difficult.

More important, for this delegation, the utilization of regulations I/4 and I/5 in an interim solution developed by IMO has to be seen as an exception addressing the specific situation of the interim solution that shall not change the way the Regulations are interpreted and implemented in other cases."

Statement by the delegation of Ireland

"We would like to thank the expert group and all submitters of documents on this item.

It is not very clear to us exactly what problem we are trying to solve as such offshore energy projects are multi-dimensional and we are looking at just one aspect and often the complicated regulatory issues in such projects are not vessel related and that these issues will continue no matter what we decide at the IMO."
It is clear to Ireland that the transfer of workers to their place of work is passenger transport and thus in our view industrial personnel are passengers. By analogy if the same workers were transported by helicopter they would travel in a passenger standard helicopter and we are not aware of a similar argument in the aviation sector as we are now having. Essentially a worker on the shore should be treated the same way no matter how they travel to their place of work, i.e. as passengers.

Also of note is the definition of international voyage. As we know the definition of an international voyage in SOLAS is a voyage from a country to which the present convention applies to a port outside such a country, or conversely. In most cases the transfer of industrial personnel is from a port in a State to an installation and back to the same port and even if it was outside 12 miles this is still not an international voyage under SOLAS. This includes ships not flying the flag of the coastal state as well. So we do not see how an international instrument will help in this case.

We also consider that the paper from the Secretariat on legal issues 96/7/3 is important and we wish to draw attention to paragraph 21 of that paper which raised wider significant issues. In particular, issues relating to introducing new definitions and to the ILO and we consider that IMO should not diverge from ILO and that workers' rights need to be protected in any solution.

In offshore energy projects much wider considerations apply as when the industrial personnel are on energy installation what legal status do they have and which labour laws apply. It is our view that those of the coastal State apply. We also consider that all of the laws of the coastal State apply and that issues such as work permits, minimum wage, human trafficking are all considerations and that any vessel carrying out transfer of workers to or from an installation are for that State to regulate.

Therefore, in summary we consider that this is a complicated multi-dimensional issue and is generally not solvable by the IMO as it is in the main an issue for the coastal state.

Therefore, we are not convinced that even if some of the proposed changes are made, on the ground not much will change. As regards the present debate we support MSC taking a decision and it is our view that industrial personnel are passengers and that we would foresee some amendments to the standards for passenger ships recognising their status somewhat along the lines of option 4."

**Statement by the delegation of the Marshall Islands**

"This delegation thanks the Working Group and their Chairman for the work carried out.

While we recognized the concerns with relying on regulations 1.4 and 1.5 as they normally address approaches that are not specifically covered in the Convention. However, the "Equivalencies" used in the proposed Resolution are instruments and Codes already deemed by the Organization to be equivalent to SOLAS.

What should be understood is that there is a critical need to address the safety issues associated with the substantial increases in number of persons carried on offshore vessels.

The annex to the Resolution instructs Administrations to also take into account the number of Industrial Personnel carried in determining the most appropriate requirement to be applied and so the Marshall Islands therefore supports the adoption of the draft Recommendation and the associated draft MSC resolution."
Statement by the delegation of the United States

"The United States congratulates the industrial personnel working group and its chairman along with the Secretariat staff on the good cooperation, detailed discussions, and spirit of compromise that all participants showed during the group's work. We also note the contributions of the Legal Division Director and his staff. We are optimistic that the cooperation and collaboration during this past week bodes well for the development at SDC of a high-quality product for the long-term solution on industrial personnel.

Mr. Chairman, when the Committee established this working group last week, the United States expressed concern that an interim solution was unnecessary and potentially ineffective. A reason for our statement then was uncertainty associated with any interim solution with respect to SOLAS chapter I, given that any interim solution would be recommendatory in nature. The Working Group's recommendation underscores that Administrations can apply regulations 1/4 and 1/5 if those regulations are applicable. This recommendation does not change Parties' obligations under SOLAS. We continue to believe that a more appropriate approach, consistent with sound treaty practice, is to focus the work on bringing a mandatory long-term solution into effect rather than recommend an interim solution under the terms proposed.

That said, we do not intend that our observation interfere with the will of the Committee. The United States is not in a situation where we need an interim solution and are sympathetic to those who are so situated. Again, we believe the sincere efforts so far to find solutions, to have the hard debates and consider all factors, and to be open to compromise serve us well for the future work. We look forward with great eagerness to the start of this work."

Statement by the observer from the ITF

"We share the concerns of Ireland.

The construction standards for ships transporting more than 12 industrial personnel to offshore installations was originally placed on the agenda to address the narrow question of whether the ships transporting offshore workers on international voyages need comply with passenger ship standards or cargo ships standards, or some different standard applicable only to ships transporting offshore workers.

The debate has now shifted to the problem of defining industrial personnel and the scope of who is covered under the definition. The definition in the report delinks them from offshore activities and broadens the scope to permit their engaging in undefined industrial activities on board any ship in international trade. What began as a trade specific standard for transporting offshore workers has been expanded by stripping it of any connection with the offshore industry. The definition of industrial personnel contained in the current proposal will create a new category of workers on board any type ship in international trade for the purpose of undefined "industrial activities".

This has implications for the application of current international regulations and the general maritime law regarding shipping and seafarers. And it raises the question of what type personnel may be carried on board remotely controlled or autonomous ships in the future that may not have navigational or engineering watch standers. These are important maritime safety issues deserving careful consideration and should not be decided as part of a debate on an entirely different matter."
There is also a technical problem that stems from the terms of reference for the output. It assumes that all offshore workers being transported are industrial personnel engaged in the drilling and control of a subsea well under the supervision of an Offshore Installation Manager and administrative control of the coastal State. There are also offshore workers who are not industrial personnel involved in drilling and control of the well, but seafarers in the maritime crew under a master responsible for the safety of the offshore unit or vessel as a ship. Limiting the terms of reference to only the industrial personnel leaves a gap. As drafted transporting more than 12 personnel from the maritime crew rather than the industrial crew could still leave the transporting ship under the passenger ship standards.

We realize plenary cannot amend or change the report of the WG. But, the Committee can change the terms of reference for the output going forward to encompass both industrial personnel and maritime personnel engaged in offshore activities by using the term “offshore personnel” rather than “industrial personnel" in the terms of reference regarding the output so it is clearly understood what type of workers are covered by the definition of industrial personnel.”

AGENDA ITEM 9

Statement by the delegation of Denmark

"We have requested this opportunity to address the Committee because we have important information to share with all IMO Member States. The statement will be forwarded to the Secretariat in writing and we wish it to be attached to the report.

So, without further ado, I am pleased to inform the Committee of the following:

- This summer and before the next meeting of this Committee, Denmark will stop issuing Flag State certificates on paper. Instead, all ships flying the Danish flag will gradually switch to carrying electronic certificates as each certificate expires and is renewed.

- The certificates in question are basically all those issued by the Danish Flag State according to applicable conventions, such as SOLAS, MARPOL, the Load Line Convention, the Tonnage Convention, the MLC, the CLC, the Bunkers Convention, the Wreck Removal Convention and the Athens Convention.

- These new certificates will be viewed on screen by PSC inspectors and other parties. The digital format will allow for instant and cost free transmission of certificates, thus cutting expenses and reducing time consumption for ships’ crews, ship owners, commercial agents as well as Port State and Flag State administrations.

- Besides the fact that Danish certificates will now be viewed on screen rather than paper, they will look much the same as always. They will still carry a coat of arms, the stamp of the Danish Maritime Authority, a signature of an authorized inspector as well as a unique tracking identification number.

- The certificates will of course be protected from alteration or tampering through encryption and use of a digital signature. All of this means that the certificates will be in compliance with the IMO Guidelines for the use of electronic certificates.
• His Excellency, the Secretary-General will of course be advised formally in writing of all this information and the specific date on which we switch to electronic certificates with our respectful request to issue a circular for notification and information to all Member States.

• We wish to express that we expect our electronically certified ships to be welcomed in the ports of all IMO members on an equal footing with ships carrying traditional certificates."

AGENDA ITEM 10

Statement by the observer from BIC*

"We welcome the amendments to the circulars to "encourage" use of the Global ACEP Database as the tool used by Administrations to meet their ACEP publication requirement. Hopefully these amendments will help drive the wide adoption of the Global ACEP Database, thus making it truly global. Having visibility of all ACEP's on a single database will provide increased transparency, encourage better adherence to auditing requirements, and ultimately, increased safety in the industry. In other words, precisely what was set out to be achieved in 2012, when the Convention for Safe Containers was amended to require ACEP auditing and publication.

Just to quickly review the background: Following an invitation by DSC 17, the BIC successfully deployed a pilot database nearly four years ago. Under the direction of DSC 18, and with the endorsement of MSC 93, it was further developed and has been operating 24/7 for over three years now. It currently lists over 75 ACEP’s administered by seven countries: Bermuda, Denmark, France, Germany, Italy, Russia and the United States. We are pleased with the progress but we also note that many Administrations have yet to make their ACEP's publicly available (anywhere). We would invite all Administrations to approach us to help complete this task as quickly as possible.

Despite the lack of a MOU with the Organization, the BIC is pleased to continue hosting the Global ACEP Database, based on the past endorsements by MSC and on the strength of the recent Circular amendments just discussed.

We would suggest however, that in the long-term, the interests of the Organization and Administrations may be better served by a more formal arrangement governing the management of the database, as well as by a CSC amendment to ensure all ACEP's are published in one location.

In the meantime, we will carry on with the present arrangement and will submit a progress report to the upcoming CCC3 and to MSC 97."
shall be promptly brought to the knowledge of those concerned and communicated to other interested Government. Under IMO resolution A.706(17), Member States of the IMO are asked to notify the designated coordinators of incidents which might affect the safety of navigation, including the launch of missiles, in order to transmit navigational warning and maritime safety information to the ships in the sea area concerned.

However, we understand that since 10 March of this year, the Democratic People's Republic of Korea has launched numerous missiles without any proper navigational warnings as set out in this resolution. The Democratic People's Republic of Korea launched 2 short-range ballistic missiles on 10 March, 2 medium-range ballistic missiles on 18 March, a medium-range ballistic missile on 15 April, a submarine-launched ballistic missile on 23 April and 2 intermediate-range ballistic missiles on 28 April 2016.

These repetitions of un-notified firings of missiles by the Democratic People's Republic of Korea are a serious threat not only to neighboring States but also to the established order of maritime safety. These launches of ballistic missiles are also in clear violation of the relevant UN Security Council resolutions that the Democratic People's Republic of Korea shall not conduct any launches using ballistic missile technology.

Furthermore, the Democratic People's Republic of Korea generated electronic jamming signals that dangerously affect GPS in the Republic of Korea from 31 March to 5 April.

Harmful interference of GPS signals by the Democratic People's Republic of Korea poses a grave threat to the safe navigation of ships and international maritime safety established by the international Convention for the Safety of Life at Sea.

In this context, the Republic of Korea would like to highlight that the Democratic People's Republic of Korea should abide by the IMO Resolution for ensuring the safety of ships' navigation and refrain from any further acts which undermine international maritime safety.

Statement by the delegation of Australia

"Australia is concerned with the threats to safety of navigation presented by the DPRK's actions, including recent ballistic missile launches, which have been conducted in contravention of relevant UN Security Council resolutions and international obligations and without prior warning to ships and aircraft transiting the region.

Consistent with the statements by the Republic of Korea and the United States and others (see below), Australia urges in the strongest terms that DPRK fulfil their IMO obligations relating to safety of navigation to protect the safety of life at sea. Australia also strongly urges DPRK to abide by the requirements of relevant UN Security Council resolutions and international law, and to abide by its international commitments."

Statement by the delegation of France

"La France partage les inquiétudes évoquées par la République de Corée.

L'OMI a un document emblématique, qui représente le pilier de la réglementation en matière de sécurité maritime, l'objet même de notre travail ici. Je veux bien sûr parler de la SOLAS, la Convention pour la Sauvegarde de la vie en mer. Son chapitre V, règle 4 impose très clairement à tous les Etats Membres de cette organisation d'avertir les acteurs de la navigation de tout danger.
Pour le cas où cela ne serait pas assez clair, la Résolution A. 706 (17) inclut précisément, au paragraphe 4.2.1.3.13, le lancer de missiles dans les "opérations spéciales susceptibles d'affecter la sécurité du transport maritime".

Or la République démocratique populaire de Corée a récemment effectué plusieurs tirs. La France a condamné très fermement les tirs effectués par la Corée du Nord en violation de ses obligations internationales.


Qui plus est, ces opérations n'ont pas respecté la SOLAS.

La résolution 2270 adoptée cette année renforce d'ailleurs le régime de sanctions à l'égard de la Corée du Nord.

La France exhorte la République démocratique populaire de Corée à se conformer sans délai à ses obligations internationales et à procéder au démantèlement complet, vérifiable et irréversible de ses programmes nucléaire et balistique, à appliquer les résolutions du Conseil de sécurité des Nations Unies et les instruments de l'OMI."

**Statement by the delegation of Japan**

"Japan fully supports the points raised by the Republic of Korea, in respect to the danger to navigation raised by the Democratic People's Republic of Korea's launch of numerous missiles without giving prior navigational warnings.

As explained by the Republic of Korea, the DPRK has launched numerous missiles without proper prior notification since 10 March of this year. Most recently, the DPRK fired a submarine-launched ballistic missile (SLBM) on 23 April 2016 and attempted to launch two intermediate-range ballistic missiles on 28 April 2016.

These launches are in violation of the relevant UN Security Council resolutions that the DPRK shall not conduct any launches using ballistic missile technology. Furthermore, these repetitions of unnotified firings by the DPRK pose a serious threat to the established order of maritime safety. These acts clearly show the DPRK's sheer disregard for the IMO Assembly resolution A.706(17), as amended.

Therefore, Japan joins the Republic of Korea and others in calling on the Democratic People's Republic of Korea to abide by the IMO Resolution for ensuring the safety of ships’ navigation and refrain from any further acts which undermines international maritime safety."

**Statement by the delegation of the Marshall Islands**

"The Marshall Islands would note and support the statements we have received in this connection from the Republic of Korea, Japan, France, Australia and the United States (see below).
We would agree with the concerns that any unnotified activities of this nature could have on the safety implications for shipping and seafarers.

We would also note that Member Governments should abide by, and implement, the relevant IMO Resolutions."

Statement by the delegation of the United States

"The United States shares the concerns expressed by the distinguished delegate of the Republic of Korea concerning the dangers created by the Democratic People's Republic of Korea to the safety of navigation. The United States refers to Assembly resolution A.706(17), as amended, which provides guidance on the IMO/IHO World-Wide Navigational Warning Service and to MSC/Circ.893 which appeals to all Member States to abide by resolution A.706(17). By this resolution, member governments are asked to notify the designated coordinators of incidents which might affect the safety of navigation, in order to transmit navigational warning and maritime safety information to the ships in the sea area concerned.

These incidents are not the first time that the DPRK launched a missile without giving prior navigational warning. These unannounced missile launches are a serious threat not only to neighbouring States but also to the established order of maritime safety, and are unacceptable to all IMO Member States who have interests in the safe use of the sea. Likewise, the disruption by the DPRK of the use of GPS by ships presents an obvious danger to the safety of navigation.

The United States would like to take this opportunity to urge all IMO Member States to conduct such exercises consistent with resolution A.706(17). We call again on the DPRK to provide adequate notice for all operations that affect the safety of navigation."

Statement by the delegation of the Democratic People’s Republic of Korea

"With regard to the issue raised by the Republic of Korea, the rocket fires by the Korean People’s Army are parts of normal military exercise and have been conducted based on a scientific calculation of the whole course of the rocket firing and the scrupulous security check and search for flight orbit.

They have had no slight harm or dangers to the field of aviation and maritime.

The allegation by the Republic of Korea on jamming Global Positioning System (GPS) signals by the Democratic People’s Republic of Korea (DPRK) is none other than the anti-DPRK fabrication and it is not worth consideration."

AGENDA ITEM 24

Statement by the delegation of Singapore

"Singapore would like to express our appreciation to the ICHCA International Ltd. and the World Shipping Council for developing the FAQ and sharing them with the IMO and Member States, and we are of the view that the document is very useful.

Singapore remains committed to play our part in fulfilling the obligations to the international Conventions which Singapore are signatory to, and has put in place a system together with our terminal operators, to strive to ensure that containers exported from Singapore fulfil the new SOLAS requirement and reduce the risk of overloading on ships.
Chairman, we note that there are concerns and challenges on its implementation, and that

government agencies are trying their very best to overcome these challenges. In urging

Member States to continue to implement effective measures, and play their part to ensure that

containers exported from their ports have their gross mass duly verified and submitted by
the shippers, Singapore would also urge Member States to adopt a pragmatic approach in
their port State control intervention actions, particularly in the initial period, in view of
the numerous challenges faced by many.

Lastly, Mr Chairman, Singapore would want to seek the consensus and clarification from
the Committee on this matter. Singapore is of the view that for containerized cargoes which had
commenced their shipment loaded on ship from their origin export port, prior to 1 July 2016,
can continue to be transhipped and loaded on the other ship bound for its next destination,
without the need for VGM, for practicality reasons."

Statement by the delegation of Panama

"La Delegación de Panamá le complace comunicar al Comité que el próximo 26 de junio
de 2016, se llevará a cabo la inauguración de la Ampliación del Canal de Panamá: Proyecto
de Construcción del Tercer Juego de Esclusas.

El Canal de Panamá, desde su apertura en 1914, ha servido para acortar distancias a la
industria marítima, ofreciendo una ruta segura, eficiente, y con un menor tiempo de
navegación, lo que se traduce en reducción de costos, insumos, combustibles y en
consecuencia, en la reducción de emisiones de dióxido de carbono (CO₂) por parte de los
buques que utilizan la ruta por Panamá.

El 23 de marzo de 2016, el Canal de Panamá inauguró su Centro de Capacitación de
Maniobras de Buques a Escala, el cual se dedica a la formación de prácticos y capitanes de
remolcador. Este novedoso centro de capacitación cuenta con un área de 15.5 hectáreas de
extensión y conecta dos lagos por un canal modelado que simula el Corte Culebra del cauce
de navegación del Canal real. El nuevo Centro cuenta también con muelles de atraque,
réplicas de las esclusas nuevas y las existentes, compuertas y cámaras, todo a una escala
de 1:25. El Centro se encuentra equipado con modelos a escala de buques y 4 remolcadores
del Canal, construidos científicamente, incluyendo un buque de graneles secos que
corresponde al Nord Delphinus y un portacontenedores que corresponde al Maersk
Edinburgh. Adicionalmente, estamos a la espera de recibir una nave de gas natural licuado
(GNL), también construida a escala que será entregada en septiembre de 2016.

Señor Presidente, la ruta por Panamá, con su Canal Ampliado, contribuye de forma
significativa con los esfuerzos de otras naciones, la industria y la Organización Marítima
Internacional en fortalecer la seguridad y protección de la navegación marítima y la prevención
de la contaminación del mar por el sector marítimo mundial."