

# TÜRK LOYDU



**TL-PR**

## **TL-Procedural Requirements**

**July 2024**

These procedural requirements are prepared by embedding related IACS Procedural Requirements. In order to have consistency, the numbering of the procedural requirements are kept as the same with related IACS Procedural Requirements.

Unless otherwise specified, these Rules apply according to the implementation dates as defined in each procedural requirement. See Rule Change Summary on TL website for revision details.

This latest edition incorporates all rule changes.

"General Terms and Conditions" of the respective latest edition will be applicable (see Rules for Classification and Surveys).

If there is a difference between the rules in English and in Turkish, the rule in English is to be considered as valid. This publication is available in print and electronic pdf version. Once downloaded, this document will become UNCONTROLLED. Please check the website below for the valid version.

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1. This Procedural Requirement applies when adding, maintaining or withdrawing double or dual class on or after 1 February 2021.

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## **PR1B**

# **Procedure for Adding, Assigning, Maintaining and Withdrawing Double or Dual Class**

### **Application**

This Procedure contains procedures and requirements pertaining to adding, assigning, maintaining or withdrawing a double or dual class and is applicable, unless stated otherwise, to vessels of over 100 GT of whatever type, self propelled or not, restricted or unrestricted service, except for "inland waterway" vessels.

The obligations of this Procedure apply to Classification Societies which are subject to verification of compliance with QSCS, for the vessels reported as compliant by the First Society.

### **Definitions**

'Compliant' ship means a ship classed by a Classification Society subject to verification of compliance with QSCS and in full compliance with all applicable and relevant IACS Resolutions.

'Double class vessel' is a vessel which is classed by two Societies and where each Society works as if it is the only Society classing the vessel, and does all surveys in accordance with its own requirements and schedule.

'Dual class vessel' is a vessel which is classed by two Societies between which there is a written agreement regarding sharing of work.

'First Society' is a Society classing a vessel which, under request of the Owner, enters a double or dual class arrangement with another Society.

'Interim Certificate of Class', or Interim Class Certificate, is the certificate issued immediately upon completion of the survey of the vessel to enable it to trade while the report of the classification surveys is processed by the gaining Society pursuant to issuing its full term Class Certificate.

'Outstanding' means still to be dealt with.

'Overdue' means overdue on the date the first or losing Society receives the request by the second or remaining Society for its current classification survey status.

'Conditions of Class' mean requirements to the effect that specific measures, repairs, surveys etc. are to be carried out within a specific time limit in order to retain Classification.

'Remaining Society' is a Society which keeps an existing vessel in class, when the class by the other Society involved in the double or dual class arrangement is suspended or withdrawn.

'Second Society' is a Society which is requested by an Owner to accept an existing vessel already classed by another Society into its class under double or dual class arrangement.

'Withdrawing Society' is a Society which withdraws its class to an existing vessel in class under double or dual class arrangement.<sup>(Note 1)</sup>

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(Note 1) In this Procedure, Form G and L in Annex 1, Annex 2 and Annex 3, the withdrawing Society is sometimes referred to simply as the "losing", when the context is obvious.

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## **Section A - Adding class of a Second Society to a vessel classed by First Society**

### **A.1 Obligations of the second Society**

A.1.1 Whenever a Society (i.e. second Society) is requested by an Owner to accept an existing vessel already classed by another Society (i.e. first Society) into its class under double or dual class arrangement, the second Society is to immediately notify the Owner in writing that:

- .1 the second Society only accepts a vessel that is free from any overdue surveys or conditions of class;
- .2 the Owner is to inform first Society of his request to second Society;
- .3 the Owner is to authorise first Society to submit to second Society its current classification status and documents as listed in Annex 3 for information and use by second Society in conducting its class entry surveys;
- .4 when the Owner decides to leave the double or dual class arrangement and prior to withdrawing from the class of one of two Societies the Owner is to inform the Societies of his intended actions;
- .5 when the Owner is advised that one of the Societies involved in double or dual class arrangement suspends or withdraws class the Owner is to inform the remaining Society of the action taken by the other Society without delay;
- .6 copies of the plans listed in Section C of PR1A are to be provided to second Society as a prerequisite to obtaining a full term Class Certificate. If the Owner is unable to provide all of the required plans, the second Society is to request that the Owner authorise the first Society to transfer copies of such of these plans as it may possess directly to the second Society upon request from the second Society, with the advice that the first Society will invoice the second Society and the second Society may, in turn, charge the associated costs to the Owner.

A.1.2 Within two (2) working days of receipt of a written request from the Owner for entry into second Society's class at a Society's Headquarters or one of its designated control or management centres, the second Society is to notify the first Society of the requested entry into class using Form G in Annex 1 with its Part A duly completed and attaching the Owner's authorisation for release of survey status.

A.1.3 Prior to issuing an Interim Certificate of Class the second Society is to:

- .1 obtain from the Owner, a written application for entry into second Society's class, containing an authorisation for second Society to obtain the current classification status from the first Society;
- .2 obtain the current classification survey status from the Headquarters of the first Society or one of its designated control or management centres;
- .3 for double class: carry out its class entry survey in accordance with the requirements of Section B of PR1A taking account of the conditions of class in the status provided by the first Society;
- .4 for dual class: carry out an initial survey having the scope of an annual survey as a minimum.

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The second Society is, within one month from issuing its Interim Certificate of Class, to advise the first Society of the date of issuing this certificate. The report Form G in Annex 1, with Parts A and B duly completed is to be used.

Any additional information regarding outstanding surveys or conditions of class received from the first Society in accordance with A.2.2 is to be taken into account in accordance with A.1.3.3, as applicable, and reported to the first Society with Form G in Annex 1 with Part B-1 duly completed within one (1) month from the completion of the survey.

A.1.5 Prior to final entry into the second Society's class, the second Society is obligated to:

- .1 carry out and document the review of class survey records, of the first Society, by an authorised person considering the items specified in Annex 3;
- .2 obtain plans and information in accordance with the requirements of Section B of PR1A.

A.1.6 To ensure mutual exchange of information on vessels adding class and on the survey status of such vessels, the second Society is, on completion of final entry into class, to dispatch Form G in Annex 1, with Parts A, B, B-1 (when applicable) and C duly completed to the TOC database and to the first Society.

## **A.2 Obligations of the first Society**

A.2.1 The first Society:

- .1 within two (2) working days of receipt of a written request at its Headquarters or one of its designated control or management centres is to notify the second Society the current classification status including a full list of surveys and conditions of class. The most recent condition evaluation report/executive hull summary reports and survey planning document for the commenced Special Survey for vessels under Enhanced Survey Programme are also to be provided. In cases where the class status is received in a language not readily understood by the second Society or contains vague or unclear descriptions the first Society is to provide additional detailed information in English language on request of the second Society. The first Society is obliged to advise the second Society of the possibility of further conditions of class arising from surveys, which the first Society knows have been carried out but for which reports have not yet been received. The report Form L in Annex 1 with Part A completed is to be used by the first Society to report on the class status; details may be amplified, if necessary, in accompanying documents;
- .2 is obliged to make available, within one (1) month of receipt of request referred to in .1, all class survey records to the second Society for record review and relevant reporting, to the extent this information is in possession of the first Society, to enable the second Society to retain the Vessels Records outlined in Annex 3, in accordance with A.1.5.1 of this Procedure;
- .3 alternatively to .2 above, upon request is obliged to provide, within one (1) month of receipt of the request referred to in .1, a copy of all the class survey records to the second Society, to enable the second Society to retain the Vessels Records outlined in Annex 3, in accordance with A.1.5.1 of this Procedure. These survey records will be transferred electronically if electronic files are available;

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is also to submit, within one month of receipt of the request referred to in .1 above, any Vessel's Records regarding class items (see Annex 3) available during the present class and from prior transfers of class performed after 1 July 2001.

A.2.2 The first Society has one month from issuance of its classification status to the second Society as per A.2.1 to forward to the second Society:

- .1 the additional information on outstanding surveys and/or conditions of class arising from surveys performed proximate to the date of Owner's written request for adding class which were not included in said status, by dispatching Form L in Annex 1 with Part A-1 duly completed; and
- .2 the structural diminution allowances which were applying to the vessel, by dispatching Form L in Annex 1 with Parts A and A-1 (when applicable) duly completed.

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## **Section B**

### **B.1 Adding class of a Second Society to a vessel classed by First Society at vessel's delivery**

B.1.1 The procedural requirements for adding class at vessel's delivery are applicable when the Society which has carried out the new construction technical review and surveys (i.e. First Society) has issued its first Certificate of Class.

#### **Obligations and reporting of the second Society**

B.1.2 Whenever a Society (i.e. Second Society) is requested by an Owner to accept a vessel already classed by another Society (i.e. first Society) into its class under double or dual class arrangement at vessel's delivery, the second Society is to immediately notify the Owner in writing that:

- .1 the Owner is to inform first Society of his request to second Society;
- .2 the Owner is to authorise first Society to submit to second Society its Certificate of Class;
- .3 when the Owner decides to leave the double or dual class arrangement and prior to withdrawing from the class of one of two Societies the Owner is to inform the Societies of his intended actions;
- .4 when the Owner is advised that one of the Societies involved in double or dual class arrangement suspends or withdraws class the Owner is to inform the remaining Society of the action taken by the other Society without delay;
- .5 copies of the plans listed in Section C of PR1A are to be provided to second Society as a prerequisite to obtaining a full term Certificate of Class. If the Owner is unable to provide all of the required plans, the second Society is to request that the Owner authorise the first Society to transfer copies of such of these plans as it may possess directly to the second Society upon request from the second Society, with the advice that the first Society will invoice the second Society and the second Society may, in turn, charge the associated costs to the Owner.

B.1.3 After receipt of a written request from the Owner for entry into second Society's class at a Society's Headquarters or one of its designated control or management centres, the second Society is to notify the first Society of the requested entry into class using Form G in Annex 1 with its Part A duly completed and attaching the Owner's authorisation for release of the first Certificate of Class, including the list of any conditions of class - with the respective due dates - issued against the subject vessel and the list of any information normally contained in the classification status.

B.1.4 Prior to issuing an Interim Certificate of Class on the date of the vessel's delivery, the second Society is to:

- .1 obtain from the Owner, a written request for entry into second Society's class at vessel's delivery, containing an authorisation for second Society to obtain a copy of the first Certificate of Class, from the first Society;
- .2 obtain the first Certificate of Class from the Headquarters of the first Society or one of its designated control or management centres or from the attending Surveyor at the

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yard of the builders, including any outstanding conditions of class and information normally contained in the classification status.

.3 carry out and satisfactorily complete all relevant surveys specified in PR1A/B.2.1.

B.1.5 The second Society is, within one month from issuing its Interim Certificate of Class, to advise the first Society of the date of issuing this certificate. The report Form G in Annex 1, with Parts A and B duly completed is to be used.

B.1.6 Prior to final entry into the second Society's class, the second Society is obligated to:

.1 obtain plans and information in accordance with the requirements of Section B of PR1A.

B.1.7 To ensure mutual exchange of information on vessels adding class and on the survey status of such vessels, the second Society is, on completion of final entry into class, to dispatch Form G in Annex 1, with Parts A, B and C duly completed to the TOC database and to the first Society.

### **Obligations and reporting of first Society**

B1.8 Upon receipt of a written request at its Headquarters or one of its designated control or management centres and on the date of the vessel's delivery, the first Society is to notify the second Society its first Certificate of Class, including the list of any conditions of class - with respective due dates - issued against the subject vessel and the list of any information normally contained in the classification status. The report Form L in Annex 1 with Part A completed is to be used by the first Society; details may be amplified, if necessary, in accompanying documents;

B.1.9 The first Society has one month from issuance of its Certificate of Class to the second Society to forward to the second Society:

.1 the structural diminution allowances which were applying to the vessel, by dispatching Form L in Annex 1 with Parts A and A-1 duly completed.

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## **Section C – Assigning and Maintaining Class in a Double or Dual Class Arrangement**

### **C.1 Double class**

C.1.1 Each Society acts independently while an existing vessel or a vessel under construction is in double class.

### **C.2 Dual class**

C.2.1 In case of an existing vessel:

- .1 each Society acts on behalf of the other Society in accordance with the bilateral agreement adopted by the two Societies. This agreement shall clearly define the scope of work of each Society.
- .2 each Society is to review whether the work undertaken by other Society on its behalf has been completed as agreed.

C.2.2 In case of a vessel under construction:

- .1 each Society acts on behalf of the other Society in accordance with the trilateral agreement adopted by the two Societies and the shipyard. This agreement shall clearly define modalities such as submission of plans, rules to be applied, harmonizing and resolution of plan approval comments between societies;
- .2 each Society is to perform review and approval of plans as appropriate in accordance with the trilateral agreement;
- .3 each Society is to perform the survey during fabrication, construction and testing of the vessel in accordance with the trilateral agreement, and/or the bilateral agreement adopted by the two Societies, if any;
- .4 each Society is to share information and records related to new construction such as plan approval including following up and closing of comments imposed, surveys, inspection, witnesses and tests etc., to perform the surveys and verify compliance with the relevant requirements; and
- .5 each Society is to issue a certificate of classification for the vessel upon satisfactory completion of new construction survey process.

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## Section D - Withdrawing Class of a Society from a Double Class Arrangement

### D.1 Obligations of the remaining Society maintaining its class

D.1.1 Whenever a Society (i.e. the remaining Society) being in a double class arrangement with another Society receives a written request from an Owner pertaining to his intention to withdraw from class of the other Society (i.e. withdrawing Society), or information that her class has been withdrawn by the other Society, the remaining Society is to immediately notify the Owner in writing that:

- .1 the validity of the remaining Society's Class Certificate is subject:
  - i) for vessels less than 15 years of age<sup>(Note 2)</sup>, to completion by the remaining Society of all overdue conditions of class of the withdrawing Society at the first port of call at which surveys can be carried out and to completion by the remaining Society of all outstanding conditions of class of the withdrawing Society by the due date;
  - ii) for vessels of 15 years of age and over, to completion by the withdrawing Society of all overdue conditions of class and to completion by the remaining Society of all outstanding conditions of class of the withdrawing Society by the due date;
- .2 the Owner is to authorise remaining Society to request from withdrawing Society its current classification status;
- .3 principles given in item .1 above apply to any additional conditions of class issued against the vessel, which were not included in the initial survey status provided to the remaining Society by the withdrawing Society because they have arisen from the surveys carried out in close proximity to the request for withdrawal from class. Such additional conditions of class, if received after the issuance of the Interim Certificate of Class by the remaining Society and which are overdue, are to be dealt with at the first port of call at which surveys can be carried out by the relevant Society, depending on the age of the vessel.

D.1.2 The remaining Society is to obtain from the Owner a written confirmation of intention to withdraw from the other Society's class, containing an authorisation for remaining Society to obtain the current classification status from the Headquarters of the withdrawing Society or one of its designated control or management centres.

D.1.3 Within two (2) working days of receipt of a written confirmation of intention from the Owner to withdraw from the other Society's class at the remaining Society's Headquarters or at one of its designated control or management centres, the remaining Society is to request the withdrawing Society, on the basis of Owner's authorisation, to release the survey status using Form G in Annex 1 with its Part A duly completed and attaching the Owner's authorisation for release of survey status. However, if the remaining Society does not receive the classification survey status from the withdrawing Society within three (3) working days from the request, the remaining Society may utilise the withdrawing Society's survey status

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(Note 2) To be calculated from the date of delivery to either the date of notification by the Owner of his intention to withdraw from class or the date of advice by the withdrawing Society to the Remaining Society (date of Form L) that class has been withdrawn, not at the request of the Owner.

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information provided by the Owner and, after complying with the other relevant requirements of this Procedural Requirement, may confirm the validity of its Class Certificate.

D.1.4 The remaining Society is to suspend the validity of its Class Certificate or other documents enabling the vessel to trade, if any overdue conditions of class previously issued against the subject vessel by the withdrawing Society have not been satisfactorily completed by the relevant Society, depending on the age of the vessel, at the first port of call where surveys can be carried out.

When repair facilities are not available in the first port of survey, a direct voyage to a repair port may be accepted to complete surveys for overdue conditions of class. In that case, the remaining Society is to inform the owner and withdrawing Society of the decision taken, e.g. direct voyage conditions agreed and port of repairs.

D.1.5 The validity of remaining Society's Class Certificate is subject to any outstanding conditions of class previously issued against the vessel by the withdrawing Society being completed by the due date and as specified by the withdrawing Society. Any outstanding conditions of class with their due dates are to be clearly stated on the:

- .1 class survey record if available on board; and
- .2 survey status.

D.1.6 Within one (1) month from the completion of the survey, the remaining Society is to advise the withdrawing Society of the actions taken with dates and locations to satisfy each overdue condition of class, if any, issued against the subject vessel as specified to the Owner by the withdrawing Society. The report Form G in Annex 1, with Parts A and B duly completed is to be used. A list of dates, locations and actions taken to satisfy each overdue condition of class as specified to the Owner by the withdrawing Society is to be attached to the copy sent to the withdrawing Society.

Where no overdue items are provided by the withdrawing Society, this form with Parts A and B, duly completed, is to be sent to the withdrawing Society and to the TOC database within one (1) month from the date of sending Form L Part A.

D.1.7 Any additional information regarding outstanding conditions of class received from the withdrawing Society in accordance with D.2.3 is to be dealt with in accordance with D.1.4 and D.1.5, as applicable, and reported to the withdrawing Society with Form G in Annex 1 with Part B-1 duly completed within one (1) month from the completion of the survey. When this additional information is received any conditions of class which are overdue are to be dealt with at the first port of call at which surveys can be carried out by the relevant Society, depending on the age of the vessel. If this is not accomplished, the Class Certificate is to be suspended immediately unless the Owner agrees to proceed directly, without further trading, to a suitable port where any overdue conditions of class are to be dealt with for completion.

D.1.8 The remaining Society is, within one (1) month of completion of a transfer of vessel into single class, to dispatch Form G in Annex 1, with its Parts A, B, B-1 (when applicable) and C duly completed, to the TOC database and to the withdrawing Society. In cases where the withdrawing Society has reported conditions of class on the vessel, the due dates of which are yet to come, the remaining Society is to provide to the withdrawing Society, together with the Form G, an itemised list of the actions taken with dates and locations and actions to be taken, to satisfy each condition of class.

D.1.9 The reporting by remaining Society to withdrawing Society required in D.1.8 is to be done in accordance with the Harmonisation of Reporting in Annex 2.

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D.1.10 The remaining Society is to carry out and document the review of class survey records of the withdrawing Society during the period of double class arrangement, by an authorised person considering the items specified in Annex 3.

## **D.2 Obligations of the withdrawing Society**

D.2.1 If an Owner advises a Society in writing of an intention to withdraw from its class or class is withdrawn by the withdrawing Society, the withdrawing Society is to immediately confirm to the Owner any overdue surveys and outstanding conditions of class, together with any outstanding fees. The remaining Society is to be informed of the actual or intended withdrawal of class using Form L in Annex 1, completed as applicable.

D.2.2 The withdrawing Society:

- .1 within two (2) working days of receipt of a written request from the remaining Society at its Headquarters or one of its designated control or management centres, is to notify the remaining Society the latest class details in its possession including a full list of overdue surveys and conditions of class - with the respective due dates - issued against the subject vessel. The most recent Condition Evaluation / Executive Hull Summary Reports and Survey Planning Document for the commenced Special Survey for vessels under Enhanced Survey Programme, if any during the period of double class arrangement, are also to be provided. In cases where the class status is received in a language not readily understood by the remaining Society or contains vague or unclear descriptions, the withdrawing Society is to provide additional detailed information in English language on request of the remaining Society. The withdrawing Society is obliged to advise the remaining Society of the possibility of further conditions of class arising from surveys, which the withdrawing Society knows have been carried out but for which reports have not yet been received. The report Form L in Annex 1 with Part A completed is to be used by the withdrawing Society to report on the class status. Details may be amplified, if necessary, in accompanying documents;
- .2 is obliged to make available, within one month of receipt of the request referred to in 2.1, all class survey records to the remaining Society for record review and relevant reporting during the period of double class arrangement to the extent this information is in the possession of the withdrawing Society to enable the gaining Society to retain the Vessel's Records as outlined in Annex 3, in accordance with D.1.10;
- .3 alternatively to .2 above, the withdrawing Society is obliged to provide, within one month of receipt of the request referred to in .1, a copy of all class survey records to the remaining Society upon request.

D.2.3 The withdrawing Society has one (1) month from issuance of its survey status to the remaining Society per paragraph D.2.2.2 to forward to the remaining Society the additional information on outstanding surveys and/or conditions of class arising from surveys performed proximate to the date of Owner's written request to withdraw from class which were not included in said status to the Owner, by dispatching Form L in Annex 1 with Part A-1 duly completed.

D.2.4 For vessels of 15 years of age and over, the withdrawing Society is, within one (1) month from completion of any overdue conditions of class imposed by the withdrawing Society, to confirm to the remaining Society the date, location and action taken to satisfy each item. The report Form L in Annex 1, Part A duly completed, is to be used. The reporting by

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the withdrawing Society to the remaining Society is to be done in accordance with the Harmonisation of Reporting in Annex 2.

D.2.5 To ensure mutual exchange of information on vessels transferring class and on the survey status of such vessels, the withdrawing Society is, on completion of a withdrawal of class, to dispatch Form L in Annex 1, with its Parts A, A-1 (when applicable) and B duly completed, to the TOC database and to the remaining Society.

D.2.6 Should the withdrawing Society, upon receiving information from the remaining Society pursuant to the disposition of the withdraw of class, have clear grounds for believing that the remaining Society did not fulfil its obligations as specified in D.1, the withdrawing Society is to notify the remaining Society of its concerns and attempt to resolve any differences.

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## **Section E - Withdrawing Class of a Society from a Dual Class Arrangement**

E.1 In the case of dual classed vessels, the withdrawing Society - according to agreement between the two Societies - is to inform the remaining Society that the class has been withdrawn using the first part and Part B of Form L.

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## **Section F - Other Requirements**

F.1 The obligations of the withdrawing and remaining Societies continue to apply when a vessel's class is suspended and for six (6) months following withdrawal of a vessel's class.

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# TL-PR 1C    Procedure for Suspension and Reinstatement or Withdrawal of Class in Case of Surveys or Conditions of Class Going Overdue

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Notes:

1. This Procedural Requirement applies to the suspension and reinstatement or withdrawal of class in case of surveys, conditions of class or recommendations going overdue on or after 1 July 2020.

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## **PR1C**

# **Procedure for Suspension and Reinstatement or Withdrawal of Class in Case of Surveys or conditions of class Going Overdue**

### **Application**

This Procedure contains procedures and requirements pertaining to suspension and reinstatement or withdrawal of class and is applicable, unless stated otherwise, to vessels of over 100 GT of whatever type, self propelled or not, restricted or unrestricted service, except for "inland waterway" vessels.

The obligations of this Procedure apply to Classification Societies which are subject to verification of compliance with QSCS.

### **Definitions**

'Disclassed' means class has been suspended or withdrawn.

'Dual class vessel' means a vessel which is classed by two Societies between which there is a written agreement regarding sharing of work.

'Conditions of Class' mean requirements to the effect that specific measures, repairs, surveys etc. are to be carried out within a specific time limit in order to retain Classification.

'Exceptional circumstances' means unavailability of dry-docking facilities; unavailability of repair facilities; unavailability of essential materials, equipment or spare parts; or delays incurred by action taken to avoid severe weather conditions.

'Force Majeure' means damage to the ship; unforeseen inability of the Society to attend the vessel due to the governmental restrictions on right of access or movement of personnel; unforeseeable delays in port or inability to discharge cargo due to unusually lengthy periods of severe weather, strikes or civil strife; acts of war; or other force majeure.

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## **Section A - Procedure for Suspension and Reinstatement or Withdrawal of Class**

### **A.1 Suspension and reinstatement of class in the case of overdue surveys**

A.1.1 Owners are to be notified that the 5-year Class Certificate expires, and classification is automatically suspended, from the certificate expiry date in the event that the Special (Renewal) Survey has not been completed or is not under attendance for completion prior to resuming trading, by the due date, or by the expiry date of any extension granted in A.1.1.1.

Classification will be reinstated upon satisfactory completion of the surveys due. The surveys to be carried out are to be based upon the survey requirements at the original date due and not on the age of the vessel when the survey is carried out. Such surveys are to be credited from the date originally due. However, the vessel is disclassified from the date of suspension until the date class is reinstated.

A.1.1.1 Under “exceptional circumstances”, the Society may grant an extension not exceeding three (3) months to allow for completion of the Special Survey provided that the vessel is attended and the attending Surveyor(s)<sup>1</sup> so recommend(s) after the following has been carried out:

- a) annual survey;
- b) re-examination of conditions of class;
- c) progression of the Special Survey as far as practicable;
- d) in the case where dry docking is due prior to the end of the class extension, an underwater examination is to be carried out by an approved diving company. An underwater examination by an approved company may be dispensed with in the case of extension of dry-docking survey not exceeding 36 months interval provided the ship is without outstanding condition of class regarding underwater parts.

A.1.1.2 In the case that the Class Certificate will expire when the vessel is expected to be at sea, an extension to allow for completion of the Special Survey may be granted provided there is documented agreement to such an extension prior to the expiry date of the certificate, and provided that positive arrangements have been made for attendance of the Surveyor at the first port of call, and provided that the Society is satisfied that there is technical justification for such an extension. Such an extension is to be granted only until arrival at the first port of call after the expiry date of the certificate. However, if owing to “exceptional circumstances” the special survey cannot be completed at the first port of call, A1.1.1 may be followed, but the total period of extension shall in no case be longer than three months after the original due date of the special survey.

A.1.2 Annual Surveys: Owners are to be notified that the Class Certificate becomes invalid, and classification is automatically suspended, if the Annual Survey has not been completed within three (3) months of the due date of the annual survey, unless the vessel is under attendance for completion of the Annual Survey.

Classification will be reinstated upon satisfactory completion of the surveys due. Such surveys are to be credited from the date originally due. However, the vessel is to be disclassified from the date of suspension until the date class is reinstated.

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<sup>1</sup> See Procedural Requirement 20 ‘Procedural Requirement for certain ESP surveys’

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A.1.3 Intermediate Surveys: Owners are to be notified that the Class Certificate becomes invalid, and classification is automatically suspended, if the Intermediate Survey has not been completed within three (3) months of the due date of the third annual survey in each periodic survey cycle, unless the vessel is under attendance for completion of the Intermediate Survey.

Classification will be reinstated upon satisfactory completion of the surveys due. Such surveys are to be credited from the date originally due. However, the vessel is to be disclassified from the date of suspension until the date class is reinstated.

A.1.4 Continuous Survey Item(s): Continuous survey item(s) due or overdue at time of annual survey is to be dealt with. The vessel's class will be subject to a suspension procedure if the item(s) is not surveyed, or postponed by agreement.

A.1.5 Vessels laid-up in accordance with the Society's Rules prior to surveys becoming overdue need not be suspended when surveys addressed above become overdue.

However, vessels which are laid-up after being suspended as a result of surveys going overdue, remain suspended until the overdue surveys are completed.

A.1.6 When a vessel is intended for a demolition voyage with any periodical survey overdue, the vessel's class suspension may be held in abeyance and consideration may be given to allow the vessel to proceed on a single direct ballast voyage from the lay up or final discharge port to the demolition yard. In such cases a short term Class Certificate with conditions for the voyage noted may be issued provided the attending surveyor finds the vessel in satisfactory condition to proceed for the intended voyage.

A.1.7 Force Majeure: If, due to circumstances reasonably beyond the owner's or the Society's control as defined above, the vessel is not in a port where the overdue surveys can be completed at the expiry of the periods allowed above, the Society may allow the vessel to sail, in class, directly to an agreed discharge port, and if necessary, hence, in ballast, to an agreed port at which the survey will be completed, provided the Society:

- a) exams the ship's records;
- b) carries out the due and/or overdue surveys and examination of conditions of class at the first port of call when there is an unforeseen inability of the Society to attend the vessel in the present port, and
- c) has satisfied itself that the vessel is in condition to sail for one trip to a discharge port and subsequent ballast voyage to a repair facility if necessary. (Where there is unforeseen inability of the Society to attend the vessel in the present port, the master is to confirm that his ship is in condition to sail to the nearest port of call.)

The surveys to be carried out are to be based upon the survey requirements at the original date due and not on the age of the vessel when the survey is carried out. Such surveys are to be credited from the date originally due.

If class has already been automatically suspended in such cases, it may be reinstated subject to the conditions prescribed in this paragraph.

A.1.8 When a vessel is intended for a single voyage from laid-up position to a repair yard or another place of lay-up with any periodical survey overdue, the vessel's class suspension may be held in abeyance and consideration may be given to allow the vessel to proceed on a single direct ballast voyage from the site of lay up to a repair yard or another place of lay-up,

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upon agreement with the Flag Administration, provided the Society finds the vessel in satisfactory condition after surveys, the extent of which are to be based on surveys overdue and duration of lay-up. A short term Class Certificate with conditions for the intended voyage may be issued. This is not applicable to vessels whose class was already suspended prior to being laid-up.

## **A.2 Suspension and reinstatement of class in the case of overdue conditions of class**

A.2.1 Each condition of class will be assigned a due date for completion. Owners will be notified of these dates and that the vessel's class will be subject to a suspension procedure if the item is not dealt with, or postponed by agreement, by the due date.

A.2.2 Classification will be reinstated upon verification that the overdue condition of class has been satisfactorily dealt with. However, the vessel is to be disclassified from the date of suspension until the date class is reinstated.

## **A.3 Suspension and reinstatement of class of dual classed vessels**

A.3.1 When a vessel is dual classed and in the event that one of the Societies involved takes action to suspend the class of the vessel for technical reasons, the Society concerned will advise the other Society of the reasons for such action and the full circumstances within five (5) working days.

A.3.2 The other Society will, upon receipt of this advice, also suspend the class of the vessel, unless it can otherwise document that such suspension is incorrect.

A.3.3 When either Society decides to reinstate class, it is to inform the other Society.

## **A.4 Withdrawal of class**

A.4.1 When class of a vessel has been suspended for a period of six (6) months due to overdue surveys and/or conditions of class, the class is to be withdrawn. A longer suspension period may be granted when the vessel is not trading as in cases of lay-up, awaiting disposition in case of a casualty or attendance for reinstatement.

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## **Section B - Notification and Reporting**

### **B.1 Notification to Owners and Flag States**

B.1.1 The Society is to confirm in writing the suspension of class and reinstating of the vessel's class to the Owner and to the Flag State.

B.1.2 The Society is to confirm in writing the withdrawal of class to the Owner and to the Flag State.

B.1.3 For vessels to which SOLAS applies, the letters according to B.1.1 and B.1.2 are to state that certain statutory certificates are implicitly invalidated by the suspension / withdrawal of class.

Notes:

- (1) The Class Certificate is to include as a minimum:
  - an expiry date based on the five year Special Survey (Renewal Survey);
  - an endorsement section to record the completion of Annual [and Intermediate] Surveys;
  - a statement to indicate that the Class Certificate becomes invalid and classification is automatically suspended, if:
    - i) the Annual Survey has not been completed within three (3) months of the due date of the annual survey; or
    - ii) the Intermediate Survey has not been completed within three (3) months of the due date of the third annual survey in each periodic survey cycle,unless the vessel is under attendance for completion of the relevant survey; or alternatively, a reference to the class suspension requirement contained in the Classification Society's Rules.
- (2) At the discretion of each Society, the following types of vessels may be exempted from compliance with this Procedural Requirement provided the Society has procedures for the suspension and withdrawal of their class:
  - Mobile Offshore Drilling Units;
  - Mobile Offshore Units;
  - Floating Production and/or Storage Vessels;
  - Military vessels or commercial vessels owned or chartered by Governments, which are utilised in support of military operations or service; or
  - Vessels in lay-up;
  - Fishing vessels.

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# **PR1 ANNEX    Annexes to PR1A, PR1B and PR1C**

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Notes:

1. This Annex applies to the requests for transfer of class, or requests for adding class, or requests from an Owner pertaining to his intention to withdraw from class from another Society, or advice by the withdrawing Society that class has been withdrawn, received on or after 1 January 2022.

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## **Annex 1 - Reporting Forms G and L**

### **Form G**

Form G is to be created and updated on the on-line TOC database maintained by the IACS Permanent Secretariat. The Form is then to be faxed or e-mailed to the other Society in accordance with the Notes below.

Form G is to be used:

**I) by the gaining Society for reporting transfer of class from another Society**  
(refer to A.1 and A.3 of PR1A) using the following Notes:

1. This form with Part A, duly completed, is to be sent to the losing Society within two (2) working days of receipt of a written request for transfer of class by the gaining Society at its Headquarters or one of its designated control or management centres.

In the case of transfer of class at vessel's delivery, the two (2) working days do not apply.

2. This form with Parts A and B, duly completed, is to be sent to the losing Society within one (1) month of the date of issuing an Interim Certificate of Class, including an interim certificate of class issued according to A.1.4.2 of PR1A, to a vessel which is transferring from another Society.

When not required to have been dealt with by the losing Society, a list of dates, locations and actions taken to satisfy each overdue survey and overdue condition of class as specified to the Owner by the losing Society is to be attached to the copy sent to the losing Society.

3. This form with Parts A, B and B-1 duly completed, is to be sent to the losing Society within one (1) month from the completion of the survey to confirm that additional overdue surveys and overdue conditions of class have been dealt with.

A list of dates, locations and actions taken to satisfy each additional overdue survey and additional overdue condition of class as specified to the Owner by the losing or first or withdrawing Society is to be attached.

4. The gaining Society is, within one (1) month of the date of final entry into class, to dispatch this form, with Parts A, B, B-1 (when applicable) and C duly completed to the losing Society.

In cases where the losing Society has reported conditions of class on the vessel a list of actions taken with dates and locations and actions to be taken to satisfy each condition of class within the due dates as specified to the owner by the losing Society is to be attached to the copy sent to the losing Society.

**II) by the second Society for reporting addition of class to a vessel already classed by another Society** (refer to A.1 and B.1 of PR1B) using the following Notes:

1. This form with Part A, duly completed, is to be sent to the first Society within two (2) working days of receipt of a written request for addition of class by the second Society at its Headquarters or one of its designated control or management centres.

In the case of adding class at vessel's delivery, the two (2) working days do not apply.

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2. This form with Parts A and B, duly completed, is to be sent to the first Society within one (1) month of the date of issuing an Interim Certificate of Class.
  3. This form with Parts A, B and B-1 duly completed, is to be sent to the first Society within one (1) month from the completion of the survey to confirm that additional information regarding outstanding surveys or conditions of class have been taken into account.
  4. The second Society is, on completion of final entry into class, to dispatch this form, with Parts A, B, B-1 (when applicable) and C duly completed, to the first Society.

**III) by the remaining Society for reporting maintenance of class when one class has been withdrawn from double class** (refer to D.1 of PR1B) using the following Notes:

1. This form with Part A duly completed, is to be sent to the withdrawing Society within two (2) working days of receipt of a written request for withdrawal of class by the remaining Society at its Headquarters or one of its designated control or management centres.
2. This form with Parts A and B, duly completed, is to be sent to the withdrawing Society within one (1) month from the completion of the survey to confirm that overdue conditions of class have been dealt with. Where no overdue items are provided by the withdrawing Society, this form with Parts A and B, duly completed, is to be sent to the withdrawing Society within one (1) month from the date of sending Form L Part A.

When not required to have been dealt with by the withdrawing Society, a list of dates, locations and actions taken to satisfy each overdue condition of class as specified to the Owner by the withdrawing Society is to be attached to the copy sent to the withdrawing Society.

3. This form with Parts A, B and B-1 duly completed, is to be sent to the withdrawing Society within one (1) month from the completion of the survey to confirm that additional overdue surveys and overdue conditions of class have been dealt with.

In cases where the withdrawing Society has reported conditions of class on the vessel, a list of actions taken with dates and locations and actions to be taken to satisfy each condition of class within the due dates as specified to the owner by the withdrawing Society is to be attached to the copy sent to the withdrawing Society.

4. On completion of a transfer of vessel into single class, this form, with Parts A, B, B-1 (when applicable) and C, duly completed is to be sent to the withdrawing Society to report the date of completion of transfer to single class from double class if not yet reported in case a) above.

**IV) by Societies for reporting reassignment of class to a vessel which had its class previously withdrawn** (refer to A.4 of PR1A) using the following Note:

This form, with Parts B and C duly filled in the fields relevant to a reassignment of class, is to be completed on the on-line TOC database maintained by the IACS Permanent Secretariat within one (1) month of final entry into class when class is reassigned to a vessel class withdrawn previously due to a reason other than transfer of class amongst Societies.

Form G attached.

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**FORM G**

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**(Tick all check boxes as appropriate)**

- ☐ **GAINING SOCIETY'S TRANSFER OF CLASS**  
☐ **REASSIGNMENT OF CLASS**  
☐ **ADDING CLASS OF A SECOND SOCIETY TO A VESSEL CLASSED BY ANOTHER (FIRST) SOCIETY**  
☐ **MAINTENANCE OF CLASS WITH THIS (REMAINING) SOCIETY WHEN WITHDRAWING FROM DOUBLE CLASS**

<b>To:</b>	Losing or first or withdrawing Society:	Fax No./e-mail address:
	TOC database	on-line database

<b>From:</b>	Gaining or second or remaining Society	Fax. No./e-mail address :
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<b>Gaining or second or remaining Society's Vessel Data</b>		
Name of Vessel		ID No.
Vessel Type	<input type="checkbox"/> OT Oil Tanker <input type="checkbox"/> CT Chemical Tanker <input type="checkbox"/> GT Gas Tanker <input type="checkbox"/> LC Other Bulk Liquid Carrier <input type="checkbox"/> BC Bulk Carrier (all combinations OB, OBO, OO) <input type="checkbox"/> GC General Cargo Vessel (including Ro-Ro Cargo, Container, Reefer, HSC Cargo) <input type="checkbox"/> PS Passenger Vessel (including Passenger / General Cargo, Passenger / Ro-Ro, Passenger HSC) <input type="checkbox"/> ZZ Other Vessel Type	Flag
Owner		

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**FORM G**

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Part A - Survey Status Request (See Note 1)				
Name of Vessel (Prior to Transfer of Class or Adding Class or Withdrawing Class)		ID No. (losing or first or withdrawing Society's, if known)		
Gross Tonnage		IMO No.		
<p>In accordance with PR1A or PR1B, please provide details of the current survey status, including a full list of overdue surveys and conditions of class with respective due dates for the vessel identified above.</p> <p>In case of transfer of class or adding class at vessel's delivery, please provide details of the first Certificate of Class, including the list of any conditions of class and the list of any information normally contained in the classification status.</p> <p>Attached hereto is a copy of the Owner's authorization for release of the information requested to the gaining or second or remaining Society named on this form.</p> <p><input type="checkbox"/> We request the facility for record review in accordance with PR1A, A.2.2.2 or PR1B, D.2.2.2.</p> <p><input type="checkbox"/> We request a copy of the records in accordance with PR1A, A.2.2.3 or PR1B, D.2.2.3.</p>				
Date request for class was received		Date	DD	MM YYYY
Signature		Date	DD	MM YYYY

IACS

INTERNATIONAL ASSOCIATION  
OF CLASSIFICATION SOCIETIES

FORM G

**Part B - Report on Issue of Interim Certificate of Class or maintenance of Class (See Note 2)**Date Survey Status, or first  
Certificate of Class in case of  
transfer of class or adding class at  
ship's delivery, received

DD MM YYYY

Change of Owner

☐ Yes ☐ No

Change of Flag

☐ Yes ☐ No

Reason for Class Entry

☐

Transfer from another Society

☐

Reassignment of class to a vessel class withdrawn previously due to a reason other than transfer of class amongst Societies

☐

Adding class as double class

☐

Adding class as dual class

Maintenance of Class

☐

(when withdrawing from double class)

☐

Survey status not received within three working days of request

☐

For transfer of class or adding class at vessel's delivery, first Certificate of Class not received from losing / first Society on the day of vessel's delivery.

☐

A list of dates, locations and actions taken to satisfy each overdue survey and overdue condition of class as specified to the Owner by the losing or withdrawing Society is attached

☐

No relevant items provided by the losing or withdrawing Society

Date of Issue of Interim Certificate of Class (including an interim certificate  
of class issued according to A.1.4.2 of PR1A)

Date

DD

MM

YYYY

Signature

Date

DD

MM

YYYY

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## FORM G

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**Part B-1 - Report on Additional Information received by the losing or first or withdrawing Society (See Note 3)**

(to be completed only if Part A-1 of Form L is received)

- ☐ A list of dates, locations and actions taken to satisfy each additional overdue survey and additional overdue outstanding condition of class as specified to the Owner by the losing or first or withdrawing Society is attached
- ☐ No relevant items provided by the losing or first or withdrawing Society

Signature

Date

DD

MM

YYYY

**Part C - Report on Final Entry into Class or Completion of Transfer to Single Class  
(See Note 4)**

Date of Final Entry into Class or  
Completion of Transfer to Single  
Class from Double Class

DD    MM    YYYY

- ☐ A list of dates, locations and actions which have been or will be taken to satisfy each condition of class within the due dates as specified to the Owner by the losing or first Society is attached
- ☐ No relevant items provided by the losing or first Society

Signature

Date      DD    MM    YYYY

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## Form L

Form L is to be created and updated on the on-line TOC database maintained by the IACS Permanent Secretariat. The Form is then to be faxed or e-mailed to the other Society in accordance with the Notes below.

Form L is to be used:

- I) **by the losing Society for reporting withdrawal of class due to a transfer of class to another Society** (refer to A.2, A.3 and A.4 of PR1A);
- II) **by the first Society in connection with adding the class of a second society to a vessel already classed by the first Society** (refer to A.2 and B.1 of PR1B); and
- III) **by the withdrawing Society for advising the remaining Society when withdrawing from double or dual class** (refer to D.2 and E of PR1B)

using the following Notes:

1. This form, with Part A duly completed, is to be sent by fax or e-mail to the gaining/second/remaining Society within two (2) working days of receipt of the gaining/second/remaining Society's Survey Status Request. A full list of overdue surveys and conditions of class with the respective due dates for the vessel is to be attached to the copy sent to the gaining/second/remaining Society. Surveys and conditions of class which have not been completed by their due date (including window period), when a ship is laid-up in accordance with the Society's rules prior to such due date (including window period), are not to be declared as overdue within the scope of the information to be included in Form L. In the case of transfer of class/adding class at vessel's delivery, the two (2) working days do not apply.
2. If the fourth box of Part A is ticked, this form, with Part A-1 duly completed, is to be sent to the gaining/second/remaining Society within one (1) month from issuance of the losing/first/withdrawing Society's survey status for advising additional survey status information which has not been provided in the previous reporting to the gaining/second/remaining Society.  
  
If the eighth box of Part A is ticked, this form, with Part A-1 duly completed, is to be sent to the gaining/second/remaining Society within five (5) working days from issuance of the losing/first/withdrawing Society's survey status for advising additional survey status information which has not been provided in the previous reporting to the gaining/second/remaining Society.
3. This form, with Parts A, A-1 (when applicable) and B duly completed, is to be sent to the gaining/remaining Society when class has been withdrawn from a vessel which has transferred to another Society or withdrawn from double class.

Form L attached.

(Tick all check boxes as appropriate)

- ☐ LOSING SOCIETY'S TRANSFER OF CLASS  
☐ ADDING CLASS OF A SECOND SOCIETY TO A VESSEL CLASSED BY THIS (FIRST) SOCIETY  
☐ ADVICE TO THE REMAINING SOCIETY WHEN WITHDRAWING FROM DOUBLE OR DUAL CLASS

<b>To:</b>	Gaining or second or remaining Society:	Fax No./e-mail address:
	TOC database	on-line database
<b>From:</b>	Losing or first or withdrawing Society:	Fax. No./e-mail address:

Vessel Data													
Name of Vessel					ID No.								
Gross Tonnage					IMO No.								
Flag					Year of build								
Vessel Type <input type="checkbox"/> OT Oil Tanker <input type="checkbox"/> CT Chemical Tanker <input type="checkbox"/> GT Gas Tanker <input type="checkbox"/> LC Other Bulk Liquid Carrier <input type="checkbox"/> BC Bulk Carrier (all combinations OB, OBO, OO) <input type="checkbox"/> GC General Cargo Vessel (including Ro-Ro Cargo, Container, Reefer, HSC Cargo) <input type="checkbox"/> PS Passenger Vessel (including Passenger / General Cargo, Passenger / Ro-Ro, Passenger HSC) <input type="checkbox"/> ZZ Other Vessel Type													
Build Yard & No.													
Owner													
Equipment Number					Date of entry into the losing or first or withdrawing Society			DD MM YY					
Society during Construction													
Record of Previous Transfer of Class, if available													
Society			Date Classed		Society			Date Classed		Society		Date Classed	
DD MM YY			DD MM YY		DD MM YY			DD MM YY		DD MM YY			
Status of compliance with IACS Resolutions													
Confirmation of vessel's compliance								<input type="checkbox"/>					
Status of compliance with URs S19/22/23/26/27/30/31, if applicable													
Information already included in the survey status								<input type="checkbox"/>					
	Applicable		Due date for compliance			Date initial compliance verified							
URs S19/S22/S23	<input type="checkbox"/>		DD MM YY			DD MM YY							
URs S26	<input type="checkbox"/>		DD MM YY			DD MM YY							
URs S27	<input type="checkbox"/>		DD MM YY			DD MM YY							
URs S30	<input type="checkbox"/>		DD MM YY			DD MM YY							
URs S31	<input type="checkbox"/>		DD MM YY			DD MM YY							

**Part A – Survey Status Information (See Note 1)**

Date Survey Status Request, or request for first Certificate of Class in case of transfer of class or adding class at ship's delivery, received DD MM YYYY

- ☐ A full list of overdue surveys / outstanding conditions of class with the respective due dates for the vessel identified above is attached.
- ☐ In case of transfer of class or adding class at vessel's delivery, details of the first Certificate of Class, including the list of any conditions of class and the list of any information normally contained in the classification status for the vessel identified above is attached.
- ☐ There is no overdue survey nor outstanding condition of class.
- ☐ There is/are survey report(s) outstanding. (if this box is ticked, then Part A-1 is applicable)
- ☐ There is no survey report outstanding.
- ☐ Structural diminution allowances are attached.
- ☐ Structural diminution allowances: see document circulated by letter Ref. ....Date .....
- ☐ Structural diminution allowances will be sent within five (5) working days. (if this box is ticked, then Part A-1 is applicable)

- ☐ Class is **not** suspended, nor withdrawn
- ☐ Class is suspended, with effect from (date) DD MM YYYY  
Reason for suspension:
- ☐ a = Survey Overdue
- ☐ b = Non-compliance with conditions of class
- ☐ c = Other Safety Related
- ☐ d = Pending Disposition of Casualty
- ☐ e = Other Non-Safety Related
- ☐ Class was withdrawn, with effect from (date) DD MM YYYY  
Reason for withdrawal:
- ☐ 0 = Transfer of class amongst Societies holding a QSCS certificate
- ☐ 1a= At the Owner's request due to the reasons other than identified in 1b, 1c or 2
- ☐ 1b= Scrapped/Sold for Scrap
- ☐ 1c= Casualty
- ☐ 2 = Transferred to a Society not holding a QSCS certificate
- ☐ 3a= Overdue Surveys
- ☐ 3b= Non-compliance with conditions of class
- ☐ 3c= Safety Related other than identified in 3a or 3b
- ☐ 4 = Other Non-Safety Related or Unidentified

Signature: Date: DD MM YYYY

Part A-1 – Additional Survey Status Information (See Note 2)

- ☐ A list of additional overdue surveys and additional outstanding conditions of class which were not included in Part A is attached.
- ☐ Structural diminution allowances are attached.
- ☐ No further information.

Signature:

Date:      DD      MM      YYYY

<b>Part B – Report on Withdrawal of Class on Transfer to, or maintenance of class with another Society</b> <b>(See Note 3)</b>				
Date Class Withdrawn		DD	MM	YYYY
Signature:		Date:	DD	MM YYYY

## Annex 2 - Harmonisation of Reporting

ITEM	ACTION	LOCATION	DATE	GAINING SOCIETY'S REPORT REQUIREMENTS
Overdue Survey	Commenced	Port	Survey Date	List items credited and items remaining to be credited, if any. Explain why the entire survey was not completed at this port. List conditions for direct voyage to port where survey will be completed, including the need to discharge current cargo if applicable.
Overdue Survey	Continued	Port	Survey Date	In cases where surveys are continued at the port where the current cargo is discharged, list items credited and items remaining to be credited, if any. Explain why the entire survey was not completed at this port. List conditions for direct voyage to port where survey will be completed.
Overdue Survey	Completed	Port	Survey Date	List place and date where survey was completed.
Overdue condition of class	Cleared	Port	Survey Date	Explain actions taken to complete overdue condition of class as specified by the losing Society.
Overdue condition of class	Commenced	Port	Survey Date	In cases where overdue conditions of class are postponed or partly postponed at the port where the current cargo is discharged, list items credited and items remaining to be credited, if any. Explain why the overdue condition of class was not completed at this port. List conditions for discharge voyage to port where condition of class will be completed as specified by losing Society.
Overdue condition of class	Cleared	Port	Survey Date	List date, place and actions take for completion of overdue conditions of class.

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### **Annex 3 - Items to be considered in the review of Vessel's Records**

- \* 1. Damages
- \* 2. Major repairs / rectifications
- \* 3. Conversion of hull-dates
- \* 4. Major alterations of machinery installation-dates
- 5. Condition evaluation / hull summary report if applicable
- \* 6. History of conditions of class
- 7. Thickness measurements from last Special Survey and subsequent thickness measurements, including areas with substantial corrosion
- 8. Report of last Special Survey and subsequent periodical reports
- \* 9. Information on coating condition of water ballast tanks (including non ESP vessels)
- 10. Restrictions / limitations in navigation area
- 11. Optional photos when available

\* As retained by the losing Society

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#### **Annex 4 - List of Societies' Contact Points**

Refer to the IACS Website:

[www.iacs.org.uk](http://www.iacs.org.uk), located under:

- Publications
- Procedural Requirements

and the Transfer of Class (TOC) Database.

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# TL-PR 3 Transparency of Classification and Statutory Information

## 1 Type of Information

The actual types of information are as follows:

Standing documentation

Ship related information

Newbuildings

Ships in Operation Class Services

Ships in Operation Statutory Services

Other information

SCF – Ship Construction File as indicated in SOLAS Ch.II-1/3-10, Paragraph 4.

## 2 The Receivers of Information

The receivers are:

Owners

Flag States

Port States

Insurance Companies

## 3 Release of Information

The Table 1 indicates release of information and is applicable to all types of ships with the exception of Tankers and Bulk Carriers subject to SOLAS Chapter II-1 Part A-1 Regulation 3-10 (Goal-based ship construction standards for bulk carriers and oil tankers).

The Table 2 indicates release of information and is applicable to Tankers and Bulk Carriers subject to SOLAS Chapter II-1 Part A-1 Regulation 3-10 (Goal-based ship construction standards for bulk carriers and oil tankers).

The footnotes describe the conditions of release.

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Note:

1. This Procedural Requirement applies from 1 July 2020.

Table 1

Information in Question	Information available to:				
	Owners	Flag State	Port State	Insurance Company*	Ship Yards
<b>1. Class Societies Standing Documents:</b>					
Rules and Guidelines (Class and statutory requirements)	1	1	1	1	1
Instructions to Surveyors		1			
Quality Manual	1	1	1	1	1
Register Book	1	1	1	1	1
<b>2. Ship Related Information:</b>					
<b>A. New buildings</b>					
Approved Drawings	6	1			7
Formal Approval Letters	1				7
Certificates of Important Equipment	2				7
<b>B. Ships in Operation:</b>					
<b>Class Services</b>					
Date (month and year) of all Class Surveys	7	1	1	1	
Expiry Date of Class Certificate	7	7**	1	1	
Certificates/Reports	7	1	6	5	
Overdue Surveys	7	7**	1	1	
Text of Conditions of Class	7	1	1	5	
Text of Overdue Conditions of Class	7	1	1	1	
Executive Hull Summary	7	3	3	3	
<b>Statutory Services</b>					
Due Dates of Statutory Surveys	7	7**	1	1	
Expiry Date of Statutory Certificates	7	7**	1	1	
Registered Statutory Condition	7	7**	1	5***	
Overdue Statutory Condition	7	7**	1	1***	
<b>3. Other Information:</b>					
Correspondence File with Yard and/or Owner	6	6		5&6	
Audit of Class Societies QA System	4	4	4	4	
Class Transfer Reporting	7	7	7	7	
Class Withdrawal Information	7	7	7	7	

\* Insurance Company means P&I Clubs and Hull Underwriters.

\*\* If stated in Agreement.

\*\*\* Unless prevented by the agreement with the flag State.

**KEY:**

1. Available upon request.
2. At delivery of the ship by Shipyard.
3. Available under visit on board.
4. Result of audit available on request.
5. When accepted by Owners - or through special clause in insurance contract.
6. When accepted by Owner (Master) or Shipyard as applicable.
7. Automatically available.

Table 2

Information in Question	Information available to:				
	Owners	Flag State	Port State	Insurance Company*	Ship Yards
<b>1. Class Societies Standing Documents:</b>					
Rules and Guidelines (Class and statutory requirements)	1	1	1	1	1
Instructions to Surveyors		1			
Quality Manual	1	1	1	1	1
Register Book	1	1	1	1	1
<b>2. Ship Related Information:</b>					
<b>A. New buildings</b>					
Approved Drawings	1	1			7
Formal Approval Letters	1	1			7
Certificates of Important Equipment	2	1			7
SCF	2	8			7
Formal Review Letters in relation with SCF	2	2			7
<b>B. Ships in Operation:</b>					
<b>Class Services</b>					
Date (month and year) of all Class Surveys	7	1	1	1	
Expiry Date of Class Certificate	7	7**	1	1	
Certificates/Reports	7	1	6	5	
Overdue Surveys	7	7**	1	1	
Text of Conditions of Class	7	1	1	5	
Text of Overdue Conditions of Class	7	1	1	1	
Executive Hull Summary	7	3	3	3	
<b>Statutory Services</b>					
Due Dates of Statutory Surveys	7	7**	1	1	
Expiry Date of Statutory Certificates	7	7**	1	1	
Registered Statutory Condition	7	7**	1	5***	
Overdue Statutory Condition	7	7**	1	1***	
<b>3. Other Information:</b>					
Correspondence File with Yard and/or Owner	1	1		5&6	
Updated modifications to SCF	7****	8			
Audit of Class Societies QA System	4	4	4	4	
Class Transfer Reporting	7	7	7	7	
Class Withdrawal Information	7	7	7	7	

\* Insurance Company means P&I Clubs and Hull Underwriters.

\*\* If stated in Agreement.

\*\*\* Unless prevented by the agreement with the flag State.

\*\*\*\* By Owner or Shipyard.

KEY:

1. Will be available upon request.
2. At delivery of the ship by Shipyard.
3. Available under visit on board.
4. Result of audit available on request.
5. When accepted by Owners - or through special clause in insurance contract.
6. When accepted by Owner (Master) or Shipyard as applicable.
7. Automatically available.
8. Available through Owner upon request.

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# TL- PR 5    **Definition of Exclusive Surveyor and Non-Exclusive Surveyor and Procedure for Employment and Control of Non-Exclusive Surveyors**

## **1.        Exclusive Surveyor**

An exclusive surveyor is a person solely employed by TL, who is duly qualified, trained and authorized to execute all duties and activities incumbent upon his employer, within his level of work responsibility. Such an exclusive surveyor is not permitted to undertake other employment.

An exclusive surveyor of TL may also be regarded as an exclusive surveyor to another Classification Society in those cases where the relevant Societies have agreed to share survey resources.

A secondment surveyor from an organization may be regarded as an exclusive surveyor to TL subject to the basis of a long term secondment contract from the organization to the Classification Society. The secondment surveyor must be duly qualified, trained, authorized and directly controlled by that Society for the performance of the duties and activities being delegated, in accordance with the relevant quality system requirements of the Classification Society. Such a secondment surveyor is only permitted to execute duties on behalf of that Classification Society.

## **2.        Non-Exclusive Surveyor**

A non-exclusive surveyor is a person who enters into an agreement with a Society to act on its behalf and who is also free to work on behalf of other organizations.

### **2.1      Employment**

- (i)    The employment of non-exclusive surveyors should be limited to locations not easily served by exclusive surveyors. This should, however, not prevent the hiring of non-exclusive surveyors who, on a case-by-case basis, may be needed to assist during periods of high work loading at exclusive offices.
- (ii)   The suitability of the non-exclusive surveyor is to be determined before engagement, either:
  - (a) by a previously demonstrated capability to provide a proper service, or,
  - (b) by direct assessment by a suitably qualified senior exclusive surveyor.

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Note:

This Procedural Requirement applies from 1 July 2009.

- 
- (iii) The qualifications of a non-exclusive surveyor should include:
    - (a) a degree or equivalent from an institution recognised within a relevant field of engineering or physical science, or a qualification from a suitable marine or nautical institution and relevant seagoing experience as a certified ship officer,
    - (b) suitable work experience relevant to the processes he or she is authorised to perform.
  - (iv) In assessing suitability and qualifications, the following may also be taken into account:
    - (a) Experience from class-related work as stated in a CV or other document.
    - (b) Mandatory training given by TL in accordance with the documented Scheme.
  - (v) Proposals for the employment of non-exclusive surveyors together with a CV giving details of education and experience are to be forwarded to TL for consideration, including final approval by authorised senior staff.
  - (vi) Records are to be kept of the justification for engagement.
  - (vii) Non-exclusive surveyors are to fulfill the qualification and training requirements of the quality system procedures and process instructions relevant to the tasks that each is authorised to perform.
  - (viii) The non-exclusive surveyor is to be engaged by means of a contract giving conditions of service, general instructions, and the scope of surveys which may be undertaken.
  - (ix) Depending on the extent of their employment, non-exclusive surveyors are to be supplied with copies of:
    - (a) the society's Register of Ships,
    - (b) a set of the society's Rules and Regulations for the Classification of Ships,
    - (c) codes, standards and/or specifications related to the processes they are authorised to perform,
    - (d) advice in writing detailing the service required on a job-by-job basis by a controlling exclusive office,
    - (e) quality system procedures and process instructions (controlled copies) relevant to the tasks non-exclusive surveyor is authorised to perform.

## **2.2 Control**

- (i) Effective controls are to be maintained over the non-exclusive surveyor by the controlling office by means of:
  - (a) examination of survey reports, and
  - (b) activity monitoring in accordance with Procedural Requirement 6

- 
- (ii) Surveys by non-exclusive surveyors may be subject to a subsequent confirmatory survey being carried out by an exclusive surveyor.
  - (iii) A comprehensive list of non-exclusive surveyors is to be maintained centrally, while a list of verification dates is to be maintained by the controlling exclusive office.

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# TL-PR 6 Procedure for Activity Monitoring of Surveyors, Plan Approval Staff and Auditors/Inspectors

## 1 Purpose

The purpose of Activity Monitoring is:

- To determine whether the individuals maintain the competence and capability to satisfactorily perform the work for which they are qualified, consistent with TL's policies and practices.
- To identify needs for continual improvement in aligning the technical services across the organisation.
- To identify need for improvements in the guidance, processes, training and supporting tools provided for the technical staff.

## 2 Definitions

### 2.1 Activity Monitoring

Activity Monitoring is an assessment by TL of TL's technical staff, conducted by a monitor, for plan approval or in the course of a survey, audit or MLC inspection.

### 2.2 Monitor

"Monitor" is the designated person who carries out the Activity Monitoring.

### 2.3 Technical Staff

Technical staff are personnel qualified to carry out surveys, or plan approvals (see TL-PR7) or Marine Management Systems Audits (see also TL-PR10) and MLC Inspections (see also TL-PR10B).

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Note:

1. This Procedural Requirement applies from 1 January 2021.
2. For the purpose of this PR, assessment of ship yards and service suppliers are not considered as 'Marine Management System Audits'.

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## **2.4 Field of work**

The field of work encompasses various processes and different types of surveys, audits, MLC inspections and plan approvals. The exact content may vary with a Society's system, but for the purposes of this procedure the following three fields of work are to be addressed:

1. Plan approval
2. Surveys
  - a. of materials and equipment, or
  - b. during construction and installation, or
  - c. during service
3. Audits
  - a. Marine Management Systems audits, or
  - b. MLC Inspections.

The above fields cover class and statutory scope of work, as applicable.

## **3 Activity Monitoring**

### **3.1 Initiating of Activity Monitoring**

Activity Monitoring may be initiated by headquarters, regional or local offices as per Society's structure.

### **3.2 Designation of Monitors**

Activity Monitoring shall be carried out by designated persons who are qualified in plan approval, survey, or audit/inspection being monitored, as appropriate.

Alternatively, a specialist (i.e., an individual with appropriate knowledge and experience) from the relevant department in the activity being monitored, who is designated by the responsible headquarters department or regional management can also carry out the Activity Monitoring.

### **3.3 Frequency of Activity Monitoring**

Activity Monitoring shall be carried out at least once every other calendar year for each field of work for which the individual is qualified. Only one type of survey (see 2.4.2) for a qualified surveyor and one type of audit/inspection (see 2.4.3) for a qualified auditor/MLC inspector need be monitored within the two-year cycle. Failure to complete the Activity Monitoring within the required timeframe will result in the individual not being permitted to carry out any activity in the field of work until the Activity Monitoring is satisfactorily completed.

The individual whose Activity Monitoring is overdue, may be assigned to carry out the next activity job, only if that activity job is monitored.

Control of any exceptions to this should be documented in the society's procedures.

### **3.4 Selection of the activity**

The activity within the field of work selected for Activity Monitoring shall be representative of the work of the individual being monitored and therefore be sufficient to enable the Monitor to effectively assess the performance of the individual against his/her qualifications.

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### **3.5 Preparation**

Preparation for Activity Monitoring shall include familiarisation with the processes, requirements and tools (e.g. software) associated with the activity to be monitored.

### **3.6 Scope of Activity Monitoring**

The scope of the Activity Monitoring shall be sufficient to effectively evaluate the performance of the individual at work. Activity Monitoring may be conducted through, but should not be limited to, reviewing report and certificate accuracy, meeting objectives, received complaints, PSC detention feedback. Plan approval Activity Monitoring may be carried out after completion of plan approval work.

Activity Monitoring is to include, as applicable, but not limited to, an evaluation of the individual's:

- personal safety awareness and adherence to the Society's safety policy;
- professional behaviour and performance;
- preparation, execution and follow-up of the activity;
- understanding and application of the relevant requirements;
- technical capabilities, including proper judgement and decision making;
- reporting and communication, both internal and external.

Activity Monitoring may be combined with a vertical contract audit<sup>1</sup>.

## **4 Reporting**

The report shall include evaluation of the performance of the individual at work as indicated in 3.6.

Any deviation from the required activities is considered to be a variance and is to be reported along with the proposed course of action to correct it.

The report shall also include conclusions with respect to:

- whether the individuals maintain the competence and capability to satisfactorily perform the work for which they are qualified, consistent with the Society's policies and practices (including particularly positive aspects);
- any areas for improvement;
- any recommended training requirements.

The completed report is to be sent to the individual's line manager.

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<sup>1</sup> Ref.: IACS Procedures Volume 3

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## **5 Evaluation**

The appropriate management, which may vary with a Society's system, shall review the completed report and where necessary will ensure that the proposed course of action, as appropriate, is implemented.

Results of Activity Monitoring shall be taken into account as part of the individual's annual performance review (see TL-PR 7) and ongoing training needs.

The society shall, annually analyse the results of all Activity Monitoring for each field of work, to identify possible improvements across the organisation. The society shall categorise variances or adopt an equivalent methodology to facilitate analysis and to identify trends, if any.

## **6 Documents and records**

The Society is to:

- 6.1 document the Activity Monitoring methodology, including how it is reported.
- 6.2 document how Monitors are designated.
- 6.3 document the consequence(s) and action(s) to be taken if Activity Monitoring is not completed within the required timeframe.
- 6.4 maintain records to demonstrate that all personnel required to be monitored have been monitored within the required timeframe.
- 6.5 maintain records on the analysis of the results of Activity Monitoring for possible improvements across the organisation.

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# **TL-PR 7 Procedure for the Training and Qualification of Survey and Plan Approval Staff**

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Notes:

1. This Procedural Requirement applies from 1 January 2021.

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## 1. Purpose and application

1.1 This Procedural Requirement defines the common training and qualification requirements for survey and plan approval staff in accordance with the requirements of IMO “Code for Recognized Organizations” (RO Code) adopted by the Organization by Resolutions MSC.349(92) and MEPC.237(65), as amended, ISO 9001:2015 and ISO/IEC 17020:2012 standards.

1.2 The overall objective of this PR is to provide training and qualification requirements for personnel engaged in classification of ships and offshore installations in respect of both new building and existing ships and offshore installations and statutory work carried out on behalf of the appropriate national Administrations, as well as survey and certification of materials and products, in compliance with the requirements of TL Rules and Regulations, IACS Procedural Requirements and International Conventions and Codes specifically IMO Resolution A.1140(31), as amended.

1.3 In applying this PR, TL has the flexibility to adopt teaching methods which are the most appropriate for the particular educational background, work experience and general culture of trainees, or methods provided by TL in their procedures and instructions.

1.4 The requirements of this PR do not apply to support staff assisting in the performance of classification or statutory work. Such staff may carry out tasks to assist Surveyors or Plan Approval staff but the Surveyor or Plan Approval Staff are responsible for the work of the support staff and the technical content of the service. However support staff should have education, training and supervision commensurate with the tasks they are authorized to perform.

## 2. Definitions

2.1 **Survey staff** are exclusive and non-exclusive surveyors as defined in TL-PR5 authorized to carry out surveys and to conclude whether or not compliance has been achieved.

2.2 **Plan approval staff** are personnel authorized to carry out design assessment and to conclude whether or not compliance has been achieved.

2.3 **Trainee** is a person receiving theoretical and practical training under the supervision of a trainer/tutor.

2.4 **Trainer** is a designated person having experience within a relevant area or a proficient expert in a special field recognized by TL to give theoretical training through classroom teaching, special seminars or individual training.

2.5 **Tutor** is a qualified and designated person from among the TL’s staff having appropriate experience and capability in the relevant areas of activities in which they assist, coach and supervise the practical training of a trainee until the latter is qualified.

## 3. Trainee entry requirements

Personnel newly employed by TL to be qualified as survey and/or plan approval staff of TL, shall have as a minimum the following formal educational background:

- a degree or equivalent qualifications from a tertiary institution recognised within a relevant field of engineering or physical science (minimum two years’ program), or

- 
- relevant qualifications from a marine or nautical institution and relevant sea-going experience as a certified ship officer, and
  - proficiency in the English language commensurate with their future work.

#### **4. Modules**

4.1 TL shall define the required competence criteria for each relevant type of survey and plan approval activity to be performed.

TL shall define the necessary theoretical and practical training modules to cover the competence criteria defined for survey and plan approval staff. The training modules shall cover as a minimum:

- learning and competence objectives,
- scope of training,
- evaluation criteria and pass requirements.

4.2 Through studying the training modules, trainees shall acquire and develop general knowledge and understanding applicable to different types of ships and types of work according to the flag State requirements, TL Rules and Regulations, IACS Procedural Requirements and International Conventions and Codes specifically the IMO RO Code and Resolution A.1140(31), as amended.

#### **5. Theoretical training for survey and plan approval staff**

5.1 The objective of theoretical training is to ensure that familiarization with rules, technical standards or statutory regulations and any additional requirements specific to the type of survey or ships is sufficient for the areas of activity.

5.2 Theoretical training shall include:

- General modules for theoretical training, and
- Special modules for theoretical training in the particular speciality.

5.3 General modules for theoretical training shall include general subjects with respect to:

- 1) Activity and functions of IMO and Maritime Administrations,
- 2) Activity and functions of TL,
- 3) Classification of ships and offshore installations,
- 4) Types of certificates and reports issued on completion of class and statutory surveys,
- 5) Quality Management System,
- 6) Personal Safety regulations, and
- 7) Legal and ethical issues.

5.4 The theoretical training for survey and plan approval staff shall be documented in a training plan and developed according to the areas of activity (types or categories of surveys, types of ships, subjects such as hull, machinery, electrical engineering etc.).

5.5 In case of an existing gap in the formal educational background in some particular area of activity, theoretical training shall be extended.

5.6 In case survey or plan approval staff have obtained particular qualifications through their previous work experience prior to their joining TL, the training plan may be reduced.

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5.7 Extensions or reductions in the individual training plans shall be documented.

5.8 Theoretical training may be received through courses, seminars, meetings or other learning methods (e.g. blended learning, e-learning, self-study, simulators, mobile learning etc.).

## **6. Practical training for survey and plan approval staff**

Practical training shall provide the trainee with the necessary knowledge and shall ensure his/her proficiency to carry out survey or plan approval work independently. In case survey or plan approval staff have obtained particular qualifications through their previous work experience prior to their joining TL, the training may be reduced and shall be documented.

### **6.1 Survey staff**

6.1.1 Practical training shall be commensurate with the complexity of the survey (types or categories of surveys, types of ships, specific subjects e.g. hull, machinery, and electrical engineering) and shall be carried out under the supervision of a tutor.

6.1.2 Selection of particular surveys depends on the speciality/qualification to be granted and shall include classification and statutory types of surveys of the following as appropriate:

- new construction,
- ships and offshore installations in operation,
- materials and equipment.

6.1.3 Practical training carried out shall be recorded.

### **6.2 Plan approval staff**

6.2.1 Practical training shall be commensurate with the complexity of design assessment (review of technical design of ships, review of technical documentation on materials and equipment) and shall be carried out under the supervision of a tutor.

6.2.2 Practical training carried out shall be recorded.

## **7. Examinations and tests**

7.1 Competence gained through the theoretical training shall be demonstrated through written or oral examination or through suitable computer tests.

7.2 Examinations and tests shall cover the sets of modules attended by the trainee, as applicable.

7.3 With respect to competence gained through practical training being demonstrated by:

7.3.1 a surveyor, this shall be accomplished by the surveyor satisfactorily completing the survey(s) and demonstrating a satisfactory level of understanding associated with the competence whilst under the supervision of the tutor. The surveyor would be expected to be able to answer associated technical questions raised as thought necessary by the tutor to confirm levels of understanding. The results of the tutor's review shall be annotated and recorded on the respective training record.

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7.3.2 a plan approval staff member, this shall be accomplished by the staff member satisfactorily completing the appraisal of drawings against the relevant classification rules and statutory regulations as verified through a review by the tutor. The results of the tutor's review shall be annotated and recorded on the respective training record.

7.4 During examinations and tests, use of the relevant working documents (Rules, Conventions, checklists, etc.) by the trainee is considered allowable.

## **8. Qualification**

8.1 The criteria adopted by TL for granting qualifications shall be documented in the appropriate QMS documents.

8.2 After completion of the theoretical and practical training, with positive results, the trainee is granted the appropriate authorizations to work independently. The activities which they are qualified to perform (types of surveys, types of ships, types of design approval, etc.) are identified.

## **9. Assessment of training effectiveness**

9.1 The criteria adopted by TL for training effectiveness assessment shall be documented in the appropriate TL QMS documents.

9.2 Documented assessment of training effectiveness shall be done on short and long term basis.

9.3 Short term assessment may be a test/interview, course evaluation etc. at the end of a training initiative.

9.4 Long term assessment may be done as part of the annual performance review and/or through Activity Monitoring, ref. TL-PR6.

## **10. Maintenance of qualification**

10.1 The criteria adopted by TL for maintenance or updating of qualifications shall be in accordance with and documented in the appropriate TL QMS documents.

10.2 Maintenance of qualifications in accordance with these criteria is to be verified at annual performance review and during Activity Monitoring, ref. TL-PR6.

10.3 Maintenance and updating of qualifications may be done through any or a combination of the following methods:

- 1) Training courses, seminars or meetings,
- 2) Practical Training (on-the-job),
- 3) Other learning methods (e.g. blended learning, e-learning, self-study, simulators, mobile learning etc.).

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10.4 Maintenance of qualification may also require relevant training for individuals as determined by:

- Activity Monitoring, or
- long time absence of practical experience from the following two fields of work as defined in TL-PR6: survey and/or plan approval, or
- annual performance review, or
- any other means.

## **11. Records**

Records shall be maintained for each surveyor/plan approval staff member, indicating:

- 1) Formal education background,
- 2) Professional experience prior to joining TL,
- 3) Evidence of theoretical training completed,
- 4) Evidence of practical training completed,
- 5) Evidence of examinations and tests,
- 6) Professional experience during employment at TL,
- 7) Periodical updating of knowledge.

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# TL-PR 9 Procedural Requirements for ISM Code Certification

## INTRODUCTION

The IACS "Procedural Requirements for ISM Code Certification" reflect, as applicable, IMO Resolution A.1118(30) "Revised guidelines on the implementation of the International Safety management (ISM) Code by Administrations" and IMO Resolution A.741(18) "International Safety Management (ISM) Code" as amended.

This document and its Annexes provide the Classification Societies with procedures and criteria for the conduct of audits to verify compliance with the requirements of the ISM Code and for the issuance of the corresponding Documents of Compliance (DOCs) and Safety Management Certificates (SMCs), including short term and interim DOCs and SMCs. Also provided are procedures governing the actions to be taken by Classification Societies when deficiencies associated with the ISM Code are identified by Port State Control Officers (PSCOs).

Where a Recognized Organization (RO) performs verification audits on behalf of an Administration, any certificates issued must comply with the format required by the ISM Code and the Administration.

The "Code for Recognized Organizations" (RO Code) adopted by the Organization by resolutions MSC.349(92) and MEPC.237(65), which was made mandatory by Chapter XI-1/1 of SOLAS 74 is applicable when Classification Societies act on behalf of the Administrations.

When acting as an RO, ISM Code certification services are to be provided by the Classification Society itself and not by one of its subsidiaries.

Where two or more ROs are involved in the ISM Code certification of a single Company, arrangements shall be made for appropriate communications between them to ensure the exchange of the relevant information.

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### Note:

1. This procedural requirement applies from 1 January 2021.

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## **1. GENERAL**

### **1.1 Definitions**

1.1.1 "Audit" means a process of systematic and independent verification, through the collection of objective evidence, to determine whether the SMS complies with the requirements of the ISM Code and whether the Safety Management System (SMS) is implemented effectively to achieve the Code's objectives.

1.1.2 "Auditor" means a person trained, qualified and authorised in accordance with Procedural Requirement 10 (TL-PR10) to carry out ISM audits and to conclude whether compliance has been achieved.

1.1.3 "Lead auditor" means an auditor who is authorised to lead a team of two or more auditors.

1.1.4 "Branch Office" means a shore-based location identified by the Company responsible under the ISM Code which may perform safety management system related tasks and is operating under the same SMS of the Company.

1.1.5 "Observation" means a statement of fact made during a safety management audit and substantiated by objective evidence. It may also be a statement made by the auditor referring to a weakness or potential deficiency in the SMS which, if not corrected, may lead to a non-conformity in the future.

1.1.6 "Safety Management Manual" is the documentation used to describe and implement the SMS.

1.1.7 "Technical deficiency" means a defect in, or failure in the operation of, a part of the ship's structure or its machinery, equipment or fittings.

1.1.8 "Non-conformity" means an observed situation where objective evidence indicates the non-fulfilment of a specified requirement.

1.1.9 "Major non-conformity" means an identifiable deviation that poses a serious threat to the safety of personnel or the ship or a serious risk to the environment that requires immediate corrective action or the lack of effective and systematic implementation of a requirement of the ISM Code.

### **1.2 Scope and Application**

1.2.1 This document establishes basic procedures for:

- (i) the conduct of interim, initial, scheduled and additional shore-based and shipboard audits against the ISM Code;
- (ii) the issue of ISM certificates to Companies and ships and their subsequent endorsement.

1.2.2 This document applies to TL when they are acting as ROs on behalf of Administrations under the provisions of SOLAS Chapter IX, and, except for paragraph 2.1, to TL when conducting audits for the issue of voluntary ISM Code Certificates.

1.2.3 This document also establishes basic procedures for ROs to follow when potential failures of the shipboard SMS are identified by Port State Control Officers.

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## **2. VERIFYING COMPLIANCE WITH THE ISM CODE**

### **2.1 Responsibilities of the RO**

2.1.1 Criteria for verification of compliance with the requirements of the ISM Code shall be in accordance with the applicable sections of IMO Resolution A.1118(30) "Revised guidelines on the implementation of the International Safety Management (ISM) Code by Administrations" and IMO Resolution A.741(18) "International Safety Management (ISM) Code" as amended.

2.1.2 A RO performing verification of compliance with the ISM Code shall have, within its organisation, competence in relation to:

- (i) the rules and regulations with which Companies must comply;
- (ii) the approval, survey and certification activities relevant to maritime certificates;
- (iii) the terms of reference of the SMS required by the ISM Code;
- (iv) practical experience of ship operations;
- (v) the assessment of management systems.

2.1.3 A RO performing verification of compliance with the provisions of the ISM Code shall ensure that personnel providing ISM-related consultancy services and personnel providing the certification are entirely independent.

2.1.4 Management of ISM Code certification services shall:

- (i) be carried out by those who have practical knowledge of ISM Code certification procedures and practices;
- (ii) ensure that the auditor(s) comply with the requirements relating to education, training, work experience and audit experience specified;
- (iii) ensure that the qualification and experience of auditors are adequate and appropriate for the size and complexity of the Company or ship to be audited.

2.1.5 A RO performing ISM Code certification shall have implemented a documented system for the qualification and continuous updating of the knowledge and competence of personnel who perform verification of compliance with the ISM Code.

This system shall provide for:

- (i) theoretical training covering all the competence requirements specified in TL-PR10 and the application of the procedures governing the certification process;
- (ii) supervised practical training as specified in TL-PR10;
- (iii) the creation and maintenance of records of the theoretical and practical training undertaken by each trainee.

2.1.6 A RO performing ISM Code certification shall have implemented a documented system ensuring that the certification process is performed in accordance with this procedure. This system shall include procedures and instructions for the following:

- 
- (i) the establishment of contracts for the provision of ISM certification services;
  - (ii) the planning, preparation and conduct of ISM audits;
  - (iii) the reporting of ISM audits;
  - (iv) the issuance of DOCs and SMCs including interim DOCs and interim SMCs;
  - (v) the evaluation and follow-up of corrective actions, including action to be taken in response to major non conformities. (Refer to Article 5 of Appendix to IMO Res. A.1118(30) and MSC/Circ.1059/MEPC/Circ.401).

## **2.2 The ability of the SMS to meet safety management objectives**

2.2.1 The purpose of an audit is to verify that:

- (i) the SMS complies with the requirements of the ISM Code;
- (ii) the SMS is being implemented effectively and in such a way as to ensure that the objectives of the ISM Code are met.

2.2.2 All records having the potential to facilitate verification of compliance with the ISM Code shall be open to scrutiny during an audit. For this purpose, the Company shall provide auditors with statutory and classification records relevant to actions taken by the Company to ensure that compliance with mandatory rules and regulations is maintained. In this regard, records may be examined to substantiate their authenticity and veracity. The Company shall ensure that the auditor has access to statutory and classification records during audits, also when these records are issued by another Classification Society, other RO or the Administration itself.

2.2.3 The audit is based upon a sampling process. Where no non-conformities have been reported, it shall not be assumed that none exists.

## **3. THE CERTIFICATION PROCESS**

### **3.1 Certification Activities**

#### **3.1.1 Document of Compliance (DOC)**

3.1.1.1 A DOC shall be issued to a Company following an initial or renewal verification of compliance with the requirements of the ISM Code.

3.1.1.2 The Company shall make available copies of the DOC to each office location and each ship covered by the SMS.

3.1.1.3 On completion of the audit, a DOC with validity not exceeding five (5) years may be issued by the auditor. A certificate of shorter validity may be issued in accordance with RO's procedures and flag State requirements.

#### **3.1.2 Safety Management Certificate (SMC)**

3.1.2.1 A SMC shall be issued to a ship following an initial or renewal verification of compliance with the requirements of the ISM Code.

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3.1.2.2 A copy of the SMC shall be available at the Company's Head Office.

3.1.2.3 The issue of a SMC is conditional upon:

- (i) the existence of a DOC (not interim), valid for that type of ship;
- (ii) the maintenance of compliance with the requirements of a Classification Society which meets the requirements of RO Code, as may be amended, or with the national regulatory requirements of a flag State which provide an equivalent level of safety; and
- (iii) the maintenance of valid statutory certificates.

3.1.2.4 On completion of the audit, an SMC with validity not exceeding five (5) years may be issued by the auditor. A certificate of shorter validity may be issued in accordance with RO procedures and flag State requirements.

## **3.2 Interim and initial verification**

3.2.1 Interim verification for the issue of an interim DOC to a Company and an interim SMC for a ship is carried out as described in ISM Code Section 14. The interim verification for issuance of an interim DOC includes a review of the safety management system documentation.

3.2.2 Initial verification for the issue of a DOC to a Company consists of the following steps:

- (i) A satisfactory review of any changes made to the documented SMS since the interim DOC was issued;
- (ii) Verification of the effective functioning of the SMS, including objective evidence that the Company's SMS has been in operation for at least three (3) months on board at least one ship of each type operated by the Company. The objective evidence shall include records from the internal audits performed by the Company ashore and on board and the statutory and classification records for at least one ship of each type operated by the Company.

3.2.3 The initial verification for issuing a SMC to a ship consists of the following steps:

- (i) Verification that the Company holds a valid DOC applicable to the ship type and that the other provisions of paragraph 3.1.2.3 are complied with. Only after on-board confirmation of the existence of a valid DOC can the verification proceed;
- (ii) Verification of the effective functioning of the SMS, including objective evidence that the SMS has been in operation for at least three (3) months on board the ship. The objective evidence shall also include records of the internal audits performed by the Company.

## **3.3 Annual verification or renewal of the Document of Compliance**

3.3.1 The purpose of these audits is, inter alia, to verify:

- (i) the effective functioning of the SMS;

- 
- (ii) that any modifications made to the SMS comply with the requirements of the ISM Code;
  - (iii) that corrective action has been implemented;
  - (iv) that statutory and classification certificates are valid and that no surveys are overdue.

3.3.2 The statutory and classification certification for at least one ship of each type identified on the DOC shall be verified.

### **3.4 Intermediate verification or renewal of Safety Management Certificates**

3.4.1 The purpose of these audits is, inter alia, to verify:

- (i) the effective functioning of the SMS;
- (ii) that any modifications made to the SMS comply with the requirements of the ISM Code;
- (iii) that corrective action has been implemented;
- (iv) that statutory and classification certificates are valid and that no surveys are overdue.

### **3.5 Preparing the audit**

3.5.1 The auditor(s) in co-operation with the Company or Ship shall produce an audit plan.

3.5.2 The audit plan shall be designed to be flexible in order to permit changes in emphasis based on information gathered during the audit, and to permit the effective use of resources. This plan shall be communicated to all those involved in the audit.

The audit plan shall include:

- (i) identification of the individuals or organizational units having significant direct responsibilities within the SMS;
- (ii) identification of the auditor(s) and Company representative(s);
- (iii) the language of the audit;
- (iv) the date and place where the audit is to be conducted;
- (v) the schedule of meetings to be held with Company's management.

3.5.3 Initial, intermediate and renewal shipboard verification audits shall be performed only under normal operating conditions, e.g. when the ship is not in dry dock or laid up. Interim audits may be conducted in circumstances other than normal operating conditions, provided that the ship is fully manned in accordance with its Safe Manning Certificate.

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### **3.6 Executing the audit**

3.6.1 All scheduled, routine DOC and SMC audits (initial, intermediate, annual and renewal) shall be fully scoped audits covering all elements of the ISM code and all aspects of the management of shipboard safety and pollution prevention.

3.6.2 The audit shall begin with an opening meeting, the purpose of which is to:

- (i) introduce the auditor(s) to the Company's or shipboard management;
- (ii) explain the scope and objective of the audit;
- (iii) provide a short summary of the methods and procedures to be used to conduct the audit;
- (iv) establish the official communication links between the auditor(s) and the Company or shipboard personnel;
- (v) confirm that the resources, documentation and facilities needed to perform the audit are available;
- (vi) confirm the time and date of the closing meeting and any possible interim meetings.

3.6.3 Working documents used to facilitate the audit and to document the results may include:

- (i) checklists used for evaluating SMS elements, and
- (ii) forms for reporting observations and documenting supporting evidence.

Working documents shall not restrict additional activities or investigations that may become necessary as a result of information gathered during the audit.

3.6.4 Consideration shall be given to the limitations that may be placed on the auditor's ability to gather information and collect objective evidence when audits are carried out during the hours of darkness or other similarly restrictive operational conditions.

When the activities are planned to be carried out under any restrictive operational conditions the auditor's ability to gather information is not to be impaired. In cases where it is not possible to complete the audit due to such limitations, audit plan may be changed as necessary to complete the audit when such limitations will be absent.

3.6.5 The auditor shall take into account any changes made to the SMS since the last external audit carried out.

3.6.6 The auditor(s) shall assess the SMS on the basis of the documentation presented by the Company and objective evidence of its effective implementation. Such evidence shall be collected through interviews, review of documentation and records, observation of activities and examination of the condition and operation of the ship and its equipment and technical systems.

3.6.7 Annual and renewal audits of the Company may include a review of non-conformities reported in relation to previous internal and external Company and shipboard audits. The auditor shall select a sample of the reported non-conformities and audit the Company's

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investigation, analysis, and resolution of the non-conformities in accordance with the requirements of sections 9 and 12 of the ISM Code.

3.6.8 When auditing a Company managing ships classed by another society, or for which the Administration or another RO performs the statutory surveys, the auditor shall review the statutory and classification survey records for at least one ship of each ship type to which the DOC is to apply. These records shall be made available at the Company's office (refer to 2.2.2).

3.6.9 When auditing a ship, as a part of the audit process the auditor shall review the statutory and classification survey records (refer to 2.2.2).

3.6.10 The auditor is entitled to acquire information from other Classification Societies, ROs or the Administration, in order to check the veracity of the information presented to the auditor by the Company (refer to 2.2.2).

3.6.11 During shipboard audits, the auditor shall visit the deck, engine, bridge and accommodation areas, the purpose of which is to:

- i) gain an overall impression of housekeeping and the condition of the ship and equipment
- ii) observe shipboard operations being conducted
- iii) observe emergency drills as appropriate
- iv) conduct interviews with ship's crew as appropriate.

Where weather conditions prevent safe access to certain areas this shall be documented in the report.

3.6.12 Audit findings shall be documented in a clear, concise manner and supported by objective evidence. These shall be reviewed by the auditor(s) in order to determine which are to be reported as major non-conformities, non-conformities, or observations.

3.6.13 At the end of the audit, prior to preparing the audit report, the auditor(s) shall hold a meeting with the senior management of the Company or ship and those responsible for the functions concerned. The purpose of the meeting is to present major non-conformities, non-conformities and observations to the Company or shipboard management in such a manner that they clearly understand the results of the audit.

### **3.7 Audit report**

3.7.1 The audit report shall be prepared by the lead auditor, based on information gathered by and discussed with the audit team members. It must be accurate and complete, reflect the content of the audit and shall include the following items:

- (i) the date of completion of the audit;
- (ii) the scope and objectives of the audit;
- (iii) auditor(s)
- (iv) all major non-conformities, non-conformities, and observations.

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(v) Audit Plan

3.7.2 The audit report shall be made available to the Company or ship as applicable.

3.7.3 The Company shall maintain reports and records of all audits performed both ashore and on board its ships (refer to 2.2.2).

### **3.8 Corrective Action Follow-up**

3.8.1 The non-conformity report (NCR) shall state clearly the act or situation identified as non-compliant with the Company's SMS or the ISM Code.

3.8.2 The content of the non-conformity report shall be complete and concise and written in such a manner as to be easily understood. Clarity shall not be sacrificed for the sake of brevity.

3.8.3 When writing NCRs auditors shall, whenever possible, include a reference to the applicable requirement of the Company's SMS, and when necessary for the sake of clarity, restate the requirement.

3.8.4 NCRs shall include a reference to the relevant clause or sub-clause of the ISM Code.

3.8.5 A DOC or SMC may be issued, endorsed or renewed before all identified non-conformities have been closed out provided that a schedule has been agreed between the Company and the auditor(s) for the implementation of the necessary corrective actions.

3.8.6 Additional audit(s) may be necessary to confirm the validity of a DOC and/or SMC depending on the nature of any non-conformities identified. The Company is responsible for applying for any follow-up audit required by the auditor.

3.8.7 The Company is responsible for formulating and implementing corrective actions for any non-conformity identified by the auditor(s). A corrective action plan shall be submitted to the auditor within an agreed time period. An acceptable corrective action plan shall include actions for correcting the non-compliance, its cause analysis and actions to prevent recurrence. A schedule not exceeding three (3) months from the date of completion of the audit shall be agreed for the implementation of the corrective actions. The effectiveness of the corrective actions shall be verified not later than the next scheduled audit (annual, intermediate, renewal) and may be verified at an additional audit if performed after the agreed schedule for implementation of the corrective action.

3.8.8 The review of the Company's responses to non-conformities described in paragraph 3.6.7 is applicable only to non-conformities that are not considered to be major.

3.8.9 Failure to implement the agreed Corrective Action may be treated as grounds for invalidation of the DOC or SMC.

### **3.9 Company responsibilities pertaining to safety management audits**

3.9.1 The verification of compliance with the requirements of the ISM Code does not relieve the Company, management, officers or seafarers of their obligation to comply with national and international legislation related to safety and protection of the environment.

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3.9.2 The Company is responsible for:

- (i) informing relevant employees or organizational units about the objectives and scope of the audit;
- (ii) appointing responsible members of staff to accompany the auditor(s);
- (iii) providing the resources needed by the auditor(s) to ensure an effective and efficient verification process;
- (iv) providing access and objective evidence as requested by the auditor(s);
- (v) co-operating with the auditor(s) to ensure that the audit objectives are achieved;
- (vi) informing the RO about significant changes to the SMS, which may need an additional audit by the RO. These include major restructuring of the system (for example, the establishment of Branch Offices) and changes in the operations that introduce new hazards;
- (vii) requesting additional audit, when required.

**3.10 Responsibilities of the audit team**

3.10.1 The auditor is responsible for:

- (i) planning and carrying out assigned responsibilities effectively and efficiently;
- (ii) complying with the applicable requirements and other appropriate directives;
- (iii) reporting any major obstacles encountered in performing the audit;
- (iv) organising specialist technical assistance required to fulfil the competence requirements of the audit when necessary;
- (v) clearly communicating non-conformities and observations to the Company or shipboard management immediately;
- (vi) reporting the full audit results clearly, conclusively and without undue delay;
- (vii) making the audit report available to the Company or shipboard management;
- (viii) verifying the effectiveness of corrective actions taken by the Company.

3.10.2 Documents and information pertaining to the certification shall be treated in confidence.

3.10.3 An ISM auditor identifying a technical deficiency deemed to present a serious threat to safety or the environment or that requires attention by the responsible Classification Society or the Administration shall:

- (i) establish if the Company has taken appropriate action to correct the technical deficiency. In every case the auditor shall establish that such technical deficiencies have been reported to the responsible Classification Society or Administration;

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- (ii) establish whether the technical deficiency constitutes or is symptomatic of a major non-conformity and, if so, follow the requirements of section 3.11.

### **3.11 Response to Major non-conformities**

3.11.1 A major non-conformity raised on a ship must be downgraded before the ship can sail. Downgrading may take place only after verifiable action has been taken to remove any serious threats to personnel, the ship or the environment. An acceptable plan for implementation not exceeding three (3) months shall be agreed for completion of the necessary corrective actions.

3.11.2 Following the downgrading of a major non-conformity raised on a ship, at least one additional audit should be carried out on a ship within the time frame indicated in the agreed corrective action plan to verify that effective actions have been implemented (refer to IMO Circular MSC/Circ.1059). In addition to the additional audit on a ship, an additional audit of the Company's shore-based operations may also be carried out if the auditor deems it necessary.

Following the downgrading of a major non-conformity raised during DOC audit, at least one additional audit of the Company's shore-based operations should be carried out within the time frame indicated in the agreed corrective action plan to verify that effective actions have been implemented.

3.11.3 If an audit is carried out later than the specified time window a major non-conformity shall be raised.

3.11.4 Where a major non-conformity has been raised because a DOC audit has not taken place within the specified time, the associated SMCs continue to remain in place without any additional verification provided that no other major non-conformity remains unresolved.

3.11.5 All major non-conformities, including those that are downgraded before the completion of the audit, shall be reported to the corresponding Administrations as follows:

- (i) Major non-conformities identified during office audits shall be reported to all Administrations on whose behalf DOCs have been issued and by which the RO is authorised.
- (ii) Major non-conformities identified during shipboard audits shall be reported only to the Administration of the ship concerned.

3.11.6 Where the corresponding DOC has been issued by a RO, major non-conformities identified during shipboard audits shall be reported to that RO.

3.11.7 A Certificate cannot be issued, endorsed, renewed or extended before any major non-conformity has been downgraded.

### **3.12 Withdrawal of Certification**

3.12.1 The Company shall be required to notify the affected ships immediately its DOC is withdrawn.

3.12.2 A Company whose Document of Compliance has been withdrawn shall not be issued with an Interim Document of Compliance. Furthermore, a new Document of Compliance shall not be issued unless an initial verification has been carried out. The expiry date of the new Document of Compliance shall be the same as that of the withdrawn document.

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3.12.3 Where the associated Safety Management Certificates are withdrawn as a result of the withdrawal of Document of Compliance caused by a major non-conformity, new Safety Management Certificates shall not be issued unless the Document of Compliance has been reinstated and a verification to the scope of an initial verification has been carried out on board a representative sample of the ships. At least one ship of each type operated by the Company shall be verified.

3.12.4 An Interim Safety Management Certificate shall not be issued to a ship from which the Safety Management Certificate has been withdrawn as a result of a major non-conformity. Furthermore, a new Safety Management Certificate shall not be issued unless an initial verification has been carried out on board the ship. In addition, depending on the nature of the major non-conformity raised against the Safety Management System implemented on board the ship, the validity of the Document of Compliance may also need to be verified by an audit, equivalent in scope to an annual audit, prior to the issue of the Safety Management Certificate. The new Safety Management Certificate shall have the same expiry date as the withdrawn certificate.

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## **Annex 1**

### **COMPANY BRANCH OFFICE VERIFICATION**

#### **1 General**

- 1) Where a Company assigns SMS responsibilities to Branch Offices, the verification shall include a representative sample of those offices. The sample selected shall be sufficient to ensure that all elements of the SMS and all requirements of the ISM Code can be assessed.
- 2) The audit of each Branch Office shall address each requirement of the ISM Code relevant to that office.
- 3) The Company shall have performed internal audits of all Branch Offices and relevant records shall be made available to the auditors.
- 4) Where the Company assigns SMS responsibilities to Branch Offices, the list of Branch Offices shall be indicated in an attachment to the DOC.

#### **2 Initial DOC audit**

- 1) Where the same activities are performed by all Branch Offices, the number of Branch Offices to be verified is:
  - a. two if the total number of Branch Offices is two or three;
  - b. three if the total number of Branch Offices is from four to six; and
  - c. to be agreed if the total number of Branch Offices is more than six.
- 2) Where different activities are performed by Branch Offices, the number of Branch Offices performing the same activities to be verified is:
  - a. two if the total number of Branch Offices performing the same activities is two or three;
  - b. three if the total number of Branch Offices performing the same activities is from four to six; and
  - c. to be agreed if the total number of Branch Offices performing the same activities is more than six.
- 3) Notwithstanding the above, if a Company nominates an office as its Head Office then it must be audited as part of the initial verification.

#### **3 Annual DOC audit**

- 1) Annual audit shall ensure that all Branch Offices are visited during the period of validity of the DOC. The audit of the Branch Offices shall be agreed with the Company. The frequency of Branch Office audits shall be determined based on the nature and extent of the activities undertaken by each Branch Office.
- 2) If an additional Branch Office is included by the Company in its SMS during the period of validity of the DOC, it shall be verified no later than at the next scheduled audit at which time the additional Branch Office shall be added to the list of Branch Offices.

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## **Annex 2**

### **COMMUNICATIONS WITH FLAG STATES AND BETWEEN ROs**

- 1) To ensure that the requirements of SOLAS Chapter I Regulation 6(d), SOLAS Chapter IX, IMO Resolution A.1118(30) and Resolution A.741(18) as amended are fulfilled, the following communication procedures must be followed when a DOC or SMC become invalid according to paragraph 3.11.
- 2) When a certificate is invalidated, the issuing RO shall without undue delay but not later than within 5 working days, from the decision to invalidate, inform the flag State and other ROs using the form "Notification of Invalidation of ISM Certification" attached to this document as Annex 7 or by other means including the same information.
- 3) The communication shall be limited to the identity of the ship, the Company, the substance of the major non-conformity and the date of audit.

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## **Annex 3**

### **PORT STATE CONTROL**

- 1) When attending a ship as a result of a Port State Control action, the RO that issued the SMC shall consider the objective evidence presented by the PSCO.
- 2) Where the auditor considers that the evidence indicates the presence of a major non-conformity, the major non-conformity shall be documented in the usual way, the Company shall be notified immediately and the auditor shall proceed as indicated in paragraph 3.11.
- 3) In the absence of any specific instructions to the contrary, the scope of any additional audit carried out following the detention of a ship that holds an interim SMC shall include, as a minimum, the deficiencies identified by PSCO. Implementation will be verified to the extent that the available evidence permits.
- 4) In cases where the PSCO alleges that there is evidence of a major non-conformity, and the auditor of the SMC-issuing RO considers that there is not, the PSCO, under the authority vested in the officer by the authorities of the port, will decide what further action is to be taken.
- 5) If the auditor of the SMC-issuing RO disagrees with the actions taken by the PSCO, the auditor is to provide the PSCO with a written explanation of the disagreement and inform the flag State.

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## **Annex 4**

### **SHIP TYPES ON ISM CERTIFICATES**

#### **1 Determination of ship types to be listed on DOCs and SMCs**

- 1) The ship types listed on DOCs and SMCs shall be consistent with the ship types defined in SOLAS IX Regulation 1 and on pertinent SOLAS documentation aboard ship.
- 2) Some ships are designed for use in multiple services (for example Oil Tanker/Chemical Tanker). The ship type(s) listed on the DOC and SMC shall reflect the service(s) in which the ship is fit to serve, and the safety management system shall include appropriate procedures for these ship types.

#### **2 Retention of ship types on DOCs**

- 1) The auditor shall determine at each scheduled (see 3.6.1) audit of the Company, the ship types operated by the Company at the time of the audit. If the auditor discovers that the Company no longer operates a ship type listed on the DOC, the auditor shall either document an observation to formally advise the Company that the ship type will be removed from the DOC if this situation persists at the next scheduled audit or immediately remove the ship type no longer operated from the existing DOC.
- 2) If, at a scheduled audit, the auditor determines that the Company has not been operating ships of a particular type since a previous scheduled audit the DOC(s) shall be replaced with new DOC(s) without the ship type no longer operated. If however, the Company continues to manage ships of a particular type within its fleet then, unless otherwise instructed by the Administration, all DOC's may be endorsed for this ship type.

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## Annex 5

### COMPANY CERTIFICATION SCENARIOS

	Scenario	Type of audit	Minimum scope of audit	Carried out by:	Certificate issued
1	Change of Company name and/or address	Verification on site	<ul style="list-style-type: none"><li>- Verify that Company organisation and responsibilities remain essentially unchanged.</li><li>- Ensure that necessary changes have been made to SMS documentation.</li><li>- Verify that changes have been reported to Administration(s) to update the CSR for each vessel.</li></ul>	Auditor	Reissue DOC and SMCs with new name. (expiry date as previous certificates)
2	Change to RO from a Classification Society not holding a QSCS certificate	Initial audit	<ul style="list-style-type: none"><li>- Audit to address all elements of the ISM Code.</li><li>- All corrective action to be verified and previous NCNs to be closed out by the gaining society.</li></ul>	Auditor	DOC with validity not exceeding 5 years from-audit completion date
3	Additional ship type on DOC	Interim audit on site	<ul style="list-style-type: none"><li>- Review changes to SMS to accommodate new ship type.</li><li>- Review plans to implement changes (minimum of 1 ship required).</li></ul>	Auditor	Interim DOC for new ship type
4	Change from Interim DOC to DOC in Scenario 3	Additional audit on site	<ul style="list-style-type: none"><li>- Verify additional requirements for ship type have been implemented.</li><li>- Review results of internal audit.</li></ul>	Auditor	DOC (expiry date as for existing ship type)
5	Minor change to SMS	Verify at next audit	<ul style="list-style-type: none"><li>- Assess potential impact on SMS when advised and decide whether visit is required.</li></ul>		No action
6	Major change to SMS	Verify on site	<ul style="list-style-type: none"><li>- Verify changes are appropriate and adequate for new circumstances.</li></ul>	Auditor	No action
7	Additional flag	Additional audit on site	<ul style="list-style-type: none"><li>- Verify availability of flag State instructions and their incorporation into the management system.</li></ul>	Auditor	DOC with same expiry date as the DOC issued on behalf of the other flag State(s)

Note: Above scenarios may be subject to flag State requirements and shall only be applied in the absence of any instructions from the Administration.

## Annex 6

### SHIP CERTIFICATION SCENARIOS

	Scenario	Condition	Action required	Scope of audit and certification
1	Change of ship's name	Conducted by a surveyor or an auditor	Verification on board	1. Verify correct ship's name on all Certificates and Documents. 2. Amend/reissue SMC with new ship's name, as appropriate. <i>Note:</i> SMC must be amended by issuing RO or by special arrangement <sup>1</sup> . Replacement SMC shall have the same expiry date as the current SMC.
2	Change of flag	Conducted by an auditor.	Interim audit on board	1. Interim audit as required by ISM Code, 14.4 2. Issue interim SMC.
3	Change in IMO ship type	Conducted by an auditor.	Interim audit on board	1. Interim audit as required by ISM Code, 14.4. 2. Issue Interim SMC with new ship type.
4	Adding IMO ship type (e.g. from bulk carrier to OBO)	Conducted by an auditor	Interim audit on board	1. Interim audit as required by ISM Code, 14.4. 2. Issue interim SMC with both ship types.
5	Change of ship type, dual to single (e.g. OBO to oil tanker)	Conducted by a surveyor or an auditor	Verification on board	1. Evidence of surrender of SOLAS or MARPOL related certificates for the original ship type. (e.g. surrender of IOPP Supp. B when going from OBO to bulk on permanent basis). 2. Amend/issue replacement SMC with appropriate ship type and same expiry date as the current SMC. <i>Note:</i> SMC must be amended by issuing RO or by special arrangement <sup>1</sup> .
6	Change to RO from a Classification Society not holding a QSCS certificate	Conducted by an auditor	Initial audit on board <sup>2</sup>	1. Audit to address all elements of ISM Code. 2. Issue SMC.
7	Ship out of service between 3 and 6 months <sup>3</sup>	Conducted by an auditor	Additional audit if required by the flag State	Endorse SMC as appropriate.
8	Ship out of service more than 6 months <sup>3</sup>	Conducted by an auditor	Interim audit on board	1. Interim verification. 2. Issue Interim SMC.
9	Intermediate audits requested after the end of the audit time window	Conducted by an auditor	Intermediate audit on board	1. Major NC raised that may be downgraded based on completion of audit. 2. Additional audit within 3 months required. 3. If reinstated, SMC to be endorsed with a statement (e.g. Validity reinstated with scope as initial). If re-issued, SMC to have same expiry date as previous certificate.
10	Change of Company name and/or address		Attendance on board not required	1. Verify DOC has been reissued with new Company name and address. 2. Reissue SMC with the new Company name and address.

Note: Above scenarios may be subject to flag State requirements and shall only be applied in the absence of any instructions from the Administration.

<sup>1</sup> The RO may with permission from the Administration authorize a surveyor from the vessel's Classification Society, if other than the ISM RO, to amend SMC.

<sup>2</sup> Vessels with interim SMC, and which are not yet ready for initial audit, shall be issued with an interim SMC with same validity as the certificate issued by the losing RO. The auditor shall take into account that there may not yet be records for all activities.

<sup>3</sup> These instructions do not apply to ships for which seasonal lay-ups are a normal part of their operational routine – refer to MSC-MEPC.7/Circ.9.

## NOTIFICATION OF INVALIDATION OF ISM CERTIFICATION

- ☐ Document of Compliance
- ☐ Safety Management Certificate

Ship's Name:	IMO No.
Company Name and Address	Certificate No.
	Issued by:
The audit was conducted on behalf of the government of:	
Type of audit:      Annual (office) <input type="checkbox"/> Intermediate (ship) <input type="checkbox"/> Additional <input type="checkbox"/> Renewal <input type="checkbox"/>	
(Tick as appropriate)	

REASON FOR INVALIDATION OF CERTIFICATION (specify):			
Name:	Position:	Society:	Date:

Distribution:

- To Company
- Copy to Administration
- Copy to Port State Authority (if appropriate)
- Copies to ROs responsible for issue of SMCs (office audit)
- Copy to RO responsible for issue of DOC (ship audit)
- Copy to Classification Society (ship audit)

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## **Annex 8**

### **VERIFICATION OF COMPLIANCE WITH FLAG STATE REQUIREMENTS**

- 1) Unless otherwise instructed by the Administration, auditors shall verify compliance with flag State requirements by sampling in the same way that compliance with other mandatory requirements is verified.
- 2) Where Administrations have specified requirements to be verified at every scheduled audit, either on board or ashore, the RO may formulate an appropriate audit plan considering the additional time that may need to be added to the audit duration and inform the company/ship accordingly.

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## **TL-PR 10    Procedure for the Selection, Training, Qualification and Authorisation of Marine Management Systems Auditors**

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Note:

1.    This Procedural Requirement applies from 1 January 2024.

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  10. Update training
- Appendix 1. Detailed learning objectives

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## 1. General

1.1 This Procedural Requirement describes the TL requirements for the selection, training, qualification and authorisation of marine management systems auditors responsible for verifying compliance with the ISM and ISPS Codes. These requirements have been developed in accordance with the provisions outlined below.

1.2 Paragraph 4.2 of Appendix 1 of IMO Resolution A.739(18) *“Minimum standards for recognized organizations acting on behalf of the Administration”* requires Recognised Organisations to provide “a systematic training and qualification regime for professional personnel engaged in the safety management system certification process, to ensure proficiency in the applicable management criteria as well as adequate knowledge of the technical and operational aspects of shipboard operational management”.

1.2bis Paragraph A2.3.5.2 of Appendix 2 of IMO Resolution MSC.349(92) *“Specifications on the survey and certification functions of recognized organizations acting on behalf of the flag State”* and MEPC.237(65) requires that “the system shall comply with the qualification and training requirements for ISM Code assessors contained in the Guidelines on Implementation of the International Safety Management (ISM) Code by Administrations”.

1.3 Paragraphs 3 and 4 of the Appendix to IMO Resolution A.1118(30) *“Revised guidelines on the implementation of the International Safety Management (ISM) Code by Administrations”* contain standards of competence and qualification arrangements for those who are to participate in verification of compliance with the requirements of the ISM Code.

1.4 Paragraph 4.2 of Appendix 1 of IMO Circular MSC/Circ.1074 *“Interim guidelines for the authorization of Recognized Security Organizations acting on behalf of the Administration and/or Designated Authority of the Contracting Government”* requires “the provision of a systematic training and qualification regime for its professional personnel engaged in the maritime management system certification process to ensure proficiency in the applicable quality and security management criteria as well as adequate knowledge of the technical and operational aspects of maritime security management.”

## 2. Competence requirements for marine management systems auditors

2.1 Those responsible for verifying compliance with the requirements of the ISM and ISPS Codes must be able to demonstrate knowledge and understanding of:

1. The principles and practice of management systems auditing.
2. The requirements of the ISM and ISPS Codes and their interpretation and application.
3. Mandatory rules and regulations and applicable codes, guidelines and standards recommended by the IMO, Administrations, TL and maritime industry organisations.
4. Basic shipboard operations including emergency preparedness and response.

See Appendix 1 for a more detailed list of learning objectives.

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2.2 In addition, they must demonstrate that they have the ability to apply such knowledge and understanding and that they are capable of carrying out effective verification audits of the shore-based and shipboard aspects of marine management systems against the ISM and ISPS Codes as applicable

The auditor must possess the competence to:

1. determine whether the management system elements conform or do not conform with the requirements of the applicable 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 IMO, Administrations, TL and maritime industry organizations have been taken into account.

2.3 The competences described above may be acquired as a result of any combination of the following:

1. Previous relevant qualifications and experience.
2. Theoretical training.
3. Practical training.

### **3. Selection Criteria**

3.1 In order to be accepted for training as a marine management systems auditor, the candidate must hold, as a minimum:

**Either** a qualification from a tertiary institution recognised by the Administration or by TL within a relevant field of engineering or physical science (minimum two-year programme);

**Or** a qualification from a marine or nautical institution and relevant seagoing experience as a certificated ship's officer.

3.2 In addition, the candidate must have at least five (5) years of experience in areas relevant to the technical or operational aspects of shipboard operational management. Such experience may be gained in the following ways:

- ship classification or statutory surveys; or
- sea-going service as a certificated watch-keeping officer; or
- employment in a technical role (for example: technical manager, superintendent, operations manager) in a ship management company; or
- any combination of these three.

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3.3 Exceptionally, alternative qualifications and experience may be considered provided that they can be shown to be at least equivalent to those specified in paragraphs 3.1 and 3.2 above, are an acceptable basis for marine auditor training and are sufficient to ensure the candidate's credibility in the eyes of the Administrations, the companies and the industry as a whole.

#### **4. Theoretical training**

4.1 Theoretical training should address all the areas listed in paragraph 2.1 above. The time spent on each topic and the level of detail that it is necessary to include will depend on the qualifications and experience of the trainees, their existing competence in each subject, and the number of training audits to be carried out.

4.2 A minimum of ten (10) days of theoretical training shall be provided. Where appropriate, some elements may be delivered by means such as distance learning and e-learning. One day of distance or e-learning is considered equivalent to one day of classroom training. However, at least fifty percent of the total theoretical training days shall be classroom-based in order to allow for discussion and debate and to allow candidates to benefit from the experience of the trainer.<sup>1</sup> The training may be modular in structure, in which case the period over which the theoretical training is delivered must not exceed twelve (12) months.

#### **5. Examination**

5.1 Confirmation that the learning objectives have been met shall be demonstrated by written examination<sup>12</sup> at the end of the theoretical training, or at the end of each module if the training is not delivered in a single training course.

5.2 If the trainee fails the written examination, or any part thereof, a single resit will be permitted. A candidate who fails the resit will be required to undergo the corresponding theoretical training again before being allowed to make another attempt at the examination.

5.3 A candidate who passes a written examination shall receive a certificate, statement or other record indicating which of the competences specified in paragraph 2.1 have been addressed, and the dates on which the corresponding training took place.

#### **6. Practical training**

6.1 A person authorised to carry out ISM and ISPS audits must have completed at least five (5) training audits under supervision and in accordance with the following criteria:

1. At least four (4) of the audits must be ISM audits.
2. At least one (1) of the ISM audits must be a company audit.
3. At least one (1) of the ISM audits must be a shipboard audit.
4. At least one (1) of the audits must be an ISPS audit.
5. The training audits may be initial, renewal, annual or intermediate. Additional audits may be used, but only when they are full scoped audits covering all elements of the applicable Code and the relevant management system.

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<sup>1</sup> Virtual Classrooms are considered classroom-based provided the virtual classroom is a synchronous, instructor-led, remote learning environment conducted in real time

<sup>2</sup> This can be done in paper or electronic format.

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6. All training audits must be completed under the supervision of suitably qualified and experienced auditors. Levels of participation of the trainee auditor may vary as training progresses, and shall be concluded in the trainee demonstrating the ability to plan, conduct and report an audit independently. The number of trainees participating in any training audit shall not exceed two (2).
  7. All training audits must be completed within twenty-four (24) months of the end of the theoretical training. Where this is not achieved for any reason, each Classification Society shall document the additional measures taken in order to complete the training.
  8. When fully scoped ISM and ISPS audits are carried out during the same visit they may be counted as individual ISM and ISPS audits for the purpose of arriving at the total number of audits carried out under supervision.

6.2 Training audits must include preparation and reporting.

6.3 The training audits described in paragraph 6.1 constitute the minimum requirement, and each Classification Society shall establish procedures for ensuring and demonstrating that the competence required by paragraph 2.2 has been achieved. The final number of training audits shall 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. Competence, sufficient practice and necessary confidence of the prospective auditor shall be confirmed by the trainer supervising the final training audit before authorization is granted to conduct audits independently. Final training audit before authorisation shall be used for granting the authorisation for one trainee only, regardless of whether a second trainee is also attending the same training audit.

6.4 In addition to the training audits described above, candidates must have completed a shipboard security plan (SSP) approval under supervision. This may be carried out as part of the theoretical classroom training. Amended SSPs may be used if the complete plan was sent for re-approval.

6.5 Where a Classification Society chooses to restrict an auditor's authorisation to ISM audits only, it is not necessary for the candidate to undergo the theoretical and practical training relevant to the ISPS Code and the related audit and certification activities. The total number of training days may be reduced accordingly.

## **7. Training (general)**

7.1 The total training must not be less than the minima specified in 4.2 and 6.1 above except in those cases in which theoretical and/or practical training are reduced based on the candidate's previous qualifications and experience or when the candidate's authorisation is to be restricted to ISM only.

7.2 Before participating in any SSP approvals or ISPS Code verifications, a candidate must have undergone a background security check completed by, or on behalf of, the Classification Society.

7.3 Every auditor who participates in SSP approvals or ISPS Code verifications shall be issued with a durable and tamper-proof identity card indicating his or her authorisation as a Maritime Security Auditor.

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## **8. Authorisation**

8.1 A record shall be maintained, indicating authorisation granted to candidates who have passed the written examination required by paragraph 5.1 and who have successfully completed the practical training described in paragraph 6.

8.2 Where TL chooses to restrict an auditor's authorisation to ISM audits only, this must be clearly indicated in the record, and procedures must exist to ensure that no work is undertaken for which authorisation has not been given.

8.3 All ISPS auditors must be authorised as ISM auditors.

## **9. Maintenance of authorisation**

9.1 A qualified auditor who has not performed at least two (2) audits ) in any two (2) calendar year period shall be required to undergo two (2) revalidation audits under the supervision of a suitably qualified and experienced auditor. These audits may be ISM or ISPS, ship or office, addressing all aspects of the corresponding code. MLC inspections addressing all aspects of the Convention can be substituted for the maintenance of this authorisation.

9.2 A qualified auditor who has not performed any audits in any five-year period shall be required to undergo revalidation training to include a one-day refresher course, two ISM audits and one ISPS audit under the supervision of a suitably qualified and experienced auditor. For auditors who are authorised for ISM only, the supervised ISPS audit need not be included.

The one-day refresher course should include familiarisation with the latest version of the audit and certification procedures, changes in regulatory requirements, new or updated reporting systems, the most recent guidance on the interpretation and application of the Codes, etc. This course may be delivered by alternative learning methods (distance learning, video conference, webinars, etc.).

## **10. Update training**

10.1 TL must ensure that its auditors are kept informed of all regulatory and procedural developments related to the ISM and ISPS Codes and that they receive guidance on matters of regulatory and procedural interpretation as these evolve.

## **11. Records**

11.1 Records shall be created and retained for each auditor indicating:

1. Qualifications and experience gained prior to training as a Marine Management Systems Auditor
2. Theoretical training received
3. Examination results
4. Practical training received
5. Authorisations granted
6. Update training received
7. Re-authorisation in the event of lapsed authorisations

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## **Appendix 1**

### **Detailed learning objectives**

Those responsible for verifying compliance with the ISM and ISPS Codes must be able to demonstrate knowledge and understanding of:

#### **1. The principles and practice of management systems auditing**

- The terminology used in management systems and their verification.
- General management systems principles and concepts.
- The design, implementation and administration of a documented management system.
- Continual improvement in a management system.
- Audit objectives.
- The roles, responsibilities and activities of the auditor.
- The preparation and planning of an audit.
- The execution of the audit.
- Audit reporting and follow-up.
- The management of an audit team.
- The content of the procedures and work instructions that govern the ISM and ISPS audit and certification process.

#### **2. The requirements of the ISM and ISPS Codes and their interpretation and application**

- The background to, and history of, the development of the ISM and ISPS Codes.
- The objectives of the ISM and ISPS Codes.
- The application of the ISM and ISPS Codes.
- The risk management and human element considerations that underpin the codes.
- The ISM Code as a management systems model.
- Certification requirements (certificate types and their validity, interim arrangements, withdrawal, special scenarios, etc.).
- The specific requirements of the ISM and ISPS Codes and their interpretation.
- The companies' responsibilities in relation to complying with the requirements of the ISM and ISPS Codes.

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**3. Mandatory rules and regulations and applicable codes, guidelines and standards recommended by the IMO, Administrations, TL and maritime industry organisations**

- The roles and functions of Administrations, port state authorities, the IMO, the ILO, TL, IACS and other industry bodies.
- Purpose and scope and general content of SOLAS 74, MARPOL 73/78, STCW 78 and other conventions and the associated guidelines, certificates and records.
- Applicable codes, guidelines and standards issued by TL and other industry organisations.

**4. Shipboard operations and shipboard security including emergency preparedness and response**

- Roles, responsibilities and interrelationships of the participants in maritime operations (owner, manager, agent, manning agent, etc.).
- Shore-based and shipboard organisation and management structure of the Company.
- Roles, responsibilities and interrelationships of shore-based and shipboard staff.
- Shipboard operations (navigation, cargo and ballasting operations, engine room operations, routine and breakdown maintenance, passenger management, security measures, management of sewage and garbage), with particular reference to specific ship types.
- Security threats and patterns, weapons, dangerous substances and devices, security equipment and systems and their operational limitations, characteristics and behaviour of persons likely to pose a security threat.
- Operational and security risk assessment techniques.
- Identification of potential emergency situations and preparations for emergency responses with particular reference to specific ship types.

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# **TL-PR 10B    Procedure for the Selection, Training, Qualification and Authorisation of Maritime Labour Inspectors**

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Note:

1.    This procedural requirement applies from 1 January 2024.

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## 1. General

1.1 This Procedural Requirement describes the TL requirements for the selection, training, qualification and authorisation of maritime labour inspectors responsible for verifying compliance with the Maritime Labour Convention, 2006 (MLC, 2006). These requirements have been developed in accordance with the provisions outlined below.

1.2 Paragraph 3 of Standard A5.1.4 of the MLC, 2006 *“Inspection and enforcement”* requires that “Adequate provision shall be made to ensure that the inspectors have the training, competence, terms of reference, powers, status and independence necessary or desirable so as to enable them to carry out the verification and ensure the compliance referred to in paragraph 1 of this Standard.”

1.3 Paragraph 1 and subparagraph 1(b) of Standard A5.1.2 of the MLC, 2006 *“Authorization of recognized organizations”* requires that “the competent authority shall review the competency and independence of the organization concerned and determine whether the organization has demonstrated, to the extent necessary for carrying out the activities covered by the authorization conferred on it, that the organization has the ability to maintain and update the expertise of its personnel;”

1.4 Paragraph 4 of Guideline B5.1.2 of the MLC, 2006 *“Authorization of recognized organizations”* requires that “Each Member should require the recognized organizations to develop a system for qualification of staff employed by them as inspectors to ensure the timely updating of their knowledge and expertise.”

## 2. Competence requirements

2.1 Those responsible for verifying compliance with the requirements of the MLC, 2006 must be able to demonstrate:

1. Knowledge and understanding of the principles and practice of management systems auditing.
2. Knowledge and understanding of the requirements of MLC, 2006.
3. Awareness of applicable national laws and regulations and relevant international instruments.

See Appendix 1 for a more detailed list of learning objectives.

2.2 In addition, they must demonstrate that they have the ability to apply such knowledge and understanding and that they are capable of carrying out effective inspections of the seafarers' working and living conditions on board against the MLC, 2006.

2.3 The competences described above may be acquired as a result of any combination of the following:

1. Previous relevant qualifications and experience.
2. Theoretical training.
3. Practical training.

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### **3. Selection Criteria**

3.1 In order to be accepted for training as a maritime labour inspector, the candidate must be, as a minimum:

3.1.1 marine management systems auditor qualified in accordance with PR 10; or

3.1.2 survey staff qualified in accordance with PR 7. In addition, the candidate must have at least five years of experience in areas relevant to the technical or operational aspects of shipboard operational management. Such experience may be gained in the following ways:

- ship classification or statutory surveys; or
- sea-going service as a certificated watch-keeping officer; or
- employment in a technical role (for example: technical manager, superintendent, operations manager) in a ship management company; or
- any combination of these three.

3.2 Exceptionally, alternative qualifications and experience may be considered provided that they can be shown to be at least equivalent to those specified in paragraph 3.1 above and are an acceptable basis for maritime labour inspector.

### **4. Theoretical training**

4.1 Theoretical training should address all the areas listed in paragraph 2.1 above. The time spent on each topic and the level of detail that it is necessary to include will depend on the qualifications and experience of the trainees, their existing competence in each subject, and the number of training inspections to be carried out.

4.2 The training may be modular in structure, in which case the period over which the theoretical training is delivered must not exceed twelve months.

4.3 A minimum of five days of theoretical training shall be provided. Where appropriate, some elements may be delivered by means such as distance learning and e-learning. One day of distance or e-learning is considered equivalent to one day of classroom training. However, at least three days shall be classroom-based in order to allow for discussion and debate and to allow candidates to benefit from the experience of the trainer<sup>1</sup>.

4.4 In addition, in case of candidate not qualified as a marine management systems auditor, the candidate must have attended at least one day of classroom-based training in the principles and practice of management system auditing.

### **5. Examination**

5.1 Confirmation that the learning objectives have been met shall be demonstrated by written examination<sup>2</sup> at the end of the theoretical training, or at the end of each module if the training is not delivered in a single training course.

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<sup>1</sup> Virtual Classrooms are considered classroom-based provided the virtual classroom is a synchronous, instructor-led, remote learning environment conducted in real time

<sup>2</sup> This can be done in paper or electronic format.

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5.2 If the trainee fails the written examination, or any part thereof, a single resit will be permitted. A candidate who fails the resit will be required to undergo the corresponding theoretical training again before being allowed to make another attempt at the examination.

5.3 A candidate who passes a written examination shall receive a certificate, statement or other record indicating which of the competences specified in paragraph 2.1 have been addressed, and the dates on which the corresponding training took place.

## **6. Practical training**

6.1 A person authorised to carry out maritime labour inspection must have completed under supervision and in accordance with the following criteria at least:

1. one inspection within the scope of maritime labour initial, intermediate or renewal inspection for a qualified marine management systems auditor; or
2. two inspections within the scope of maritime labour initial, intermediate or renewal inspection for a survey staff not qualified as a marine management systems auditor.

6.2 All training inspections stated in 6.1 above must be carried out under the supervision of qualified inspectors and inspections must be completed within twenty-four months of the end of the theoretical training.

6.3 The duration of each maritime labour inspection is to include preparation and reporting time but not travel time.

6.4 The training inspections described in paragraph 6.1 constitute the minimum requirement, and each society should establish procedures for ensuring and demonstrating that the competence required by paragraph 2.2 has been achieved. The final number of training inspections should be sufficient not only to demonstrate competence, but also to ensure that the prospective inspector has had sufficient practice to provide the confidence necessary to work alone.

6.5 In addition to the training inspections described above, candidates must have completed a Declaration of Maritime Labour Compliance (DMLC) Part II review under supervision. This may be carried out as part of the theoretical classroom training. Amended DMLC Part II may be used if the complete DMLC Part II was sent for re-review.

## **7. Training (general)**

7.1 The total training must not be less than the minima specified in 4.3, 4.4 and 6.1 above except in those cases in which theoretical and/or practical training are reduced based on the candidate's previous qualifications and experience.

## **8. Authorisation**

8.1 A record shall be maintained, indicating authorisation granted to candidates who have passed the written examination required by paragraph 5.1 and who have successfully completed the practical training described in paragraph 6.

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## **9. Maintenance of authorisation**

9.1 A qualified inspector who has not performed at least one maritime labour inspection, addressing all aspects of the MLC, 2006 in any twenty-four-month period shall be required to undergo revalidation training of one maritime labour inspection under the supervision of a qualified inspector. ISM/ISPS audits can be substituted for the maintenance of this authorisation.

9.2 A qualified inspector who has not performed any maritime labour inspection in any five-year period shall be required to undergo revalidation training to include a one-day refresher course and one maritime labour inspection under the supervision of a qualified inspector. The refresher course should include familiarisation with the latest version of the inspection and certification procedures, changes in national regulatory requirements, new or updated reporting systems, the most recent guidance on the interpretation and application of the MLC, 2006. This course may be delivered by alternative learning methods (distance learning, video conference, webinars, etc.).

## **10. Update training**

10.1 Each society must ensure that its inspectors are kept informed of all regulatory and procedural developments related to MLC, 2006 and that they receive guidance on matters of regulatory and procedural interpretation as these evolve.

## **11. Records**

11.1 Records shall be created and retained for each inspector indicating:

1. Qualifications and experience gained prior to training as a maritime labour inspector
2. Theoretical training received
3. Examination results
4. Practical training received
5. Authorisations granted
6. Update training received
7. Re-authorisation in the event of lapsed authorisations

---

## **Appendix 1**

### **Detailed learning objectives**

Those responsible for verifying compliance with the MLC, 2006 must be able to demonstrate knowledge and understanding of:

#### **1. The principles and practice of management systems auditing**

- The terminology used in management systems and their verification.
- General management systems principles and concepts.
- The design, implementation and administration of a documented management system.
- Continual improvement in a management system.
- Audit objectives.
- The roles, responsibilities and activities of the auditor.
- The preparation and planning of an audit.
- The execution of the audit.
- Audit reporting and follow-up.
- The management of an audit team.

NOTE: Marine management systems auditors, including ISO qualified auditors, are deemed to have met above requirements.

#### **2. The requirements of the Maritime Labour Convention, 2006**

- The background to the MLC, 2006 and the maritime context.
- Articles of the MLC, 2006.
- Title 1 – Minimum requirements for seafarers to work on a ship.
- Title 2 – Conditions of employment.
- Title 3 – Accommodation, recreational facilities, food and catering.
- Title 4 – Health protection, medical care, welfare and social security protection.
- Flag State inspection and certification under Title 5.
- Complaints under Title 5.
- Port State Control under Title 5.
- Applicable national regulatory requirements for implementing the MLC, 2006.

- 
- The content of the procedures and work instructions of the Recognized Organization that govern the maritime labour inspection and certification process.

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# TL-PR 11 Procedure for Assigning Date of Build

The Class Certificate and the Society's Register of Ships shall indicate the **Date of Build** as defined below:

## **For New Construction**

The year, month and date at which the new construction survey process is completed shall be specified as the "**Date of Build**".

Where there is substantial delay between completion of construction survey process and the ship commencing active service, the date of commissioning may be also specified.

## **After Modifications**

After modifications are completed, the "**Date of Build**" shall remain assigned to the ship.

Where a complete replacement or addition of a major portion of the ship (see Footnote) is involved, the following shall apply:

- a. the "**Date of Build**" associated with each major portion of the ship shall be indicated where it has been agreed that the newer structure shall be on a different survey cycle;
- b. survey requirements shall be based on the "**Date of Build**" associated with each major portion of the ship;
- c. survey due dates may be aligned at the discretion of each Society.

## Footnote:

For example, a major portion of the ship may include a complete forward or after section, a complete main cargo section (which may include a complete hold / tank of a cargo ship), a complete block of deck structure of a passenger ship or a structural modification of a single hull to a double hull ship.

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## Note:

1. This Procedural Requirement is implemented from 1 January 2012.

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# TL-PR 16 Procedure for providing lists of classed ships to Equasis

## 1 Definition

"EQUASIS" means the public-access information system on quality and safety-related information about the world's merchant fleet, [www.equasis.org](http://www.equasis.org).

"Technical Specifications" means the Technical Specifications for Data Exchange between members of the International Association of Classification Societies and Equasis, as may be revised from time to time.

## 2 Data supply to Equasis

TL is to supply data files to Equasis listing ships in class and changes in class status. The data files and the frequency of sending them are to be in accordance with the Technical Specifications.

## 3 Data verification

Data verification is covered in the Technical Specifications.

Any errors in the data should be notified directly to TL Head Office concerned.

Any questions or complaints on the data should be sent directly to Equasis MU, as relevant.

Attached:

Technical Specifications for Data Exchange between members of the International Association of Classification Societies and Equasis.

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Note:

1. This Procedural Requirement applies from 1 July 2020.
2. Acceptance of a classification society to be a data supplier using the attached Technical Specification remains the prerogative of the Equasis Editorial Board and Supervisory Committee.

# Data exchange between Members of the International Association of Classification Societies & Equasis

## Technical specifications

*tech\_IACS\_file\_format\_version\_1.12*  
Version 1.12  
Nov 2020



**Revisions**

<b>Version</b>	<b>Authors</b>	<b>Description</b>	<b>Date</b>
0.0.1	Hervé GUICHARD	Initial document	10/07/2003
0.0.2	Hervé GUICHARD	Integration of the remarks made by E. BOULET	11/07/2003
0.0.3	Hervé GUICHARD	Modification of the procedures for management of inconsistencies	16/07/2003
0.0.4	Hervé GUICHARD	New rule for the "Date to be delivered" information. Inscription of the Reason Codes in the protocol and thus, suppression of the cross-reference panels. Addition of the reason in the error file. Reason Code only required for an insertion.	21/07/2003
0.0.5	Eric BOULET	Editorial modifications. Planning of supplies, Modelling, Handling of exceptions, Drafting of business rules. SMC & DoC management. Decoding tables management.	21/07/2003
0.0.6	Eric BOULET	Editorial proofreading	05/08/2003
0.1.0	George BARCLAY	Equasis approval	26/09/2003
0.1.1	G. BARCLAY & A. BERGONZO	Translation & modifications	19/11/2003
0.1.5	Hervé GUICHARD	Modification in accordance with the principle of separated supplies from the different IACS Members	19/03/2004
0.1.6	A. Bergonzo	Editorial proofreading and modifications	24/03/2004
0.1.7	A. Bergonzo	2nd set of modifications	20/04/2004
0.1.8	Hervé GUICHARD	Additional explanations	
0.2	A. Bergonzo	Changes and preamble addition	14/06/2004
0.3	Hervé GUICHARD	Modification in accordance with the meeting held with IACS Members (Feb 05)	18/02/2005
0.4	Hervé GUICHARD	Intégration of comments. Collect of information on SMC audits without issue. Correction of business rules for acknowledgments of DoC ship types.	21/03/2005
0.5	Hervé GUICHARD	Distinction between data sets Specifications for file sent to IACS	18/04/2005
0.6	Eric BOULET	Technical annex ch.4	08/05/2005
0.7	Equasis/DSI	Amendments 2.1.5 & ch.4	20/05/2005
1	Equasis/DSI	Amendments, version for validation	08/06/2005
1.1	Alistair Stubbs	Amendments for further clarification	21/11/2005
1.2	Eric BOULET	Update technical annex ch.4	28/11/2005
1.3		Comments from Tony Choplin (BV) – working document.	30/03/2007
1.4	Philippe DUCHESNE	Restructured document after meeting BV-Equasis 03/07/2007	10/07/2007

<b>Version</b>	<b>Authors</b>	<b>Description</b>	<b>Date</b>
1.5	Philippe DUCHESNE	Comments E. Boulet, D. Jones	23/08/2007
1.6	Philippe DUCHESNE	Comments Tony Choplin, Eric Boulet technical annex replaced by examples	17/10/2007
1.7	Tony CHOPLIN	Minor updates + XML sample in line with the samples of the spec.	15/11/2007
1.8	Tony Choplin	wording	4/1/2008
1.8a	Tony Choplin	Wording	6/2/2008
1.9	IACS	Description of IACS member details updated	May 2015
1.10	IACS	Description of IACS member details updated in relation to DNV GL	Feb 2016
1.11	IACS	To harmonize the terms of 'recommendation' and 'condition of class' with only the term 'condition of class' being retained.	May 2019
1.12	IACS	An IACS member requested to update its company name from "Korean Register of Shipping" to "Korean Register".	Nov 2020

**Approval**

<b>Approving Party</b>	<b>Reviewer</b>	<b>Version Approved</b>	<b>Signature</b>	<b>Date</b>
IACS				
Equasis Management Unit				
Equasis Technical Unit				

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- .Decoding values
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  - .Decoding values
- 3.4.6. Codification of reasons of change of SMC and DoC status
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  - .Decoding values
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  - .Description of the error file
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  - 4.2. XML schema example

# 1. Introduction

## 1.1 Recipients

This document is intended for the Equasis Management Unit, Equasis Technical Unit and members of the International Association of Classification Societies (IACS).

## 1.2 Objective

This document contains the specification and methodology for the data exchange between Equasis and each IACS member:

IACS member
American Bureau of Shipping
Bureau Veritas
China Classification Society
Croatian Register of Shipping
DNV GL
Indian Register of Shipping
Korean Register
Lloyd's Register
Nippon Kaiji Kyokai
Polish Register of Shipping
RINA Services
Russian Maritime Register of Shipping

The list of emails authorized to send the files has to be kept by Equasis and if an IACS member want to change the address that send the files it has to inform Equasis prior to change.

This document is to be formally approved by the IACS Secretariat, the Equasis Management Unit and Equasis Technical Unit.

## 1.3 Acronyms and abbreviations

<b>DoC</b>	:	Document of Compliance.
<b>ISM</b>	:	International Safety Management.
<b>IACS</b>	:	International Association of Classification Societies.
<b>LR-F</b>	:	Lloyd's Register-Fairplay.

**IMO** : International Maritime Organization.

**SMC** : Safety Management Certificate.

**SMS** : Safety Management System

**SOLAS** : Safety of Life at Sea.

#### **1.4 Layout of the document**

Chapter 2 defines the general specifications.

Chapter 3 defines the detailed specifications. It describes the format of the data files.

Chapter 4 contains examples.

## 2. General specification

### 2.1 Scope of supply from IACS Members to EQUASIS

The information provided by IACS members concerns:

- Classification,
- Safety Management Certificate (SMC), as required by the ISM Code,
- Document of Compliance (DOC).

#### **Frequency:**

Each IACS Member sends information at its convenience, but the file exchanges for each category of certificate have to occur at least monthly. A more frequent update schedule would be advantageous, weekly for example.

Equasis sends information to IACS weekly.

#### **.Information concerning the classification:**

Equasis requires classification information for sea-going<sup>1</sup> ships of 100GT and over, with IMO numbers<sup>2</sup>, except:

- vessels solely engaged in fishing,
- ships without mechanical means of propulsion,
- pleasure yachts,
- ships engaged on special service,
- hopper barges,
- floating docks and structures classified in a similar manner,
- ships of war and troop ships,
- wooden ships in general.

Ships are subject to “classification cycles” of duration of 5 years. Each classification is limited by renewal surveys.

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<sup>1</sup> Sea-going ships are understood to mean the ships engaged in international voyage or domestic voyage but not in inland waters.

<sup>2</sup> The scope of reporting is in line with IMO Res. A.600(15) “IMO ship identification number scheme”, with the inclusion of hydrofoils and hovercraft.

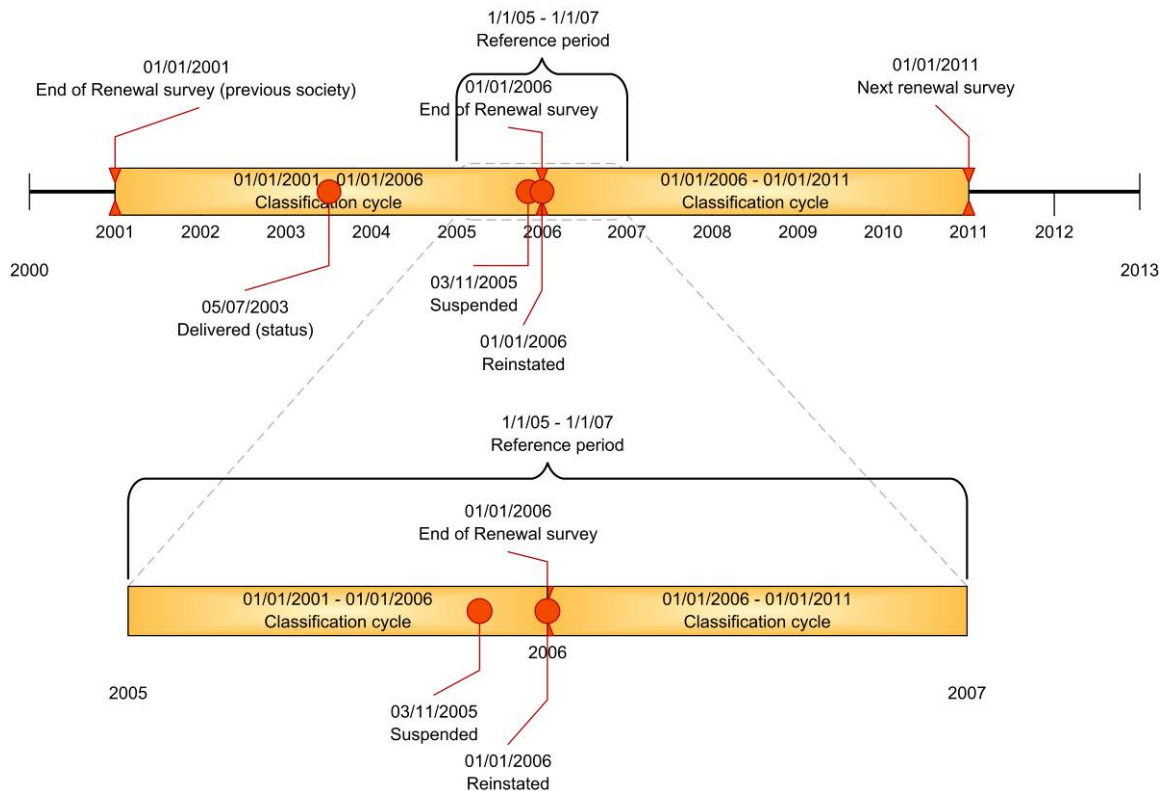
Equasis is to be provided with the following information:

- Dates of renewal surveys of classification cycles, which appear in the time frame of the last 730 days (2 years) or if the 2 year cycle is included between the 2 dates.

With the exception of classification cycles of ships which last status is “withdrawn”, if this status is before the time frame (see example 3 below).

- Statuses which occurred in the last 730 days (2 years). For each status, the date is to be provided.

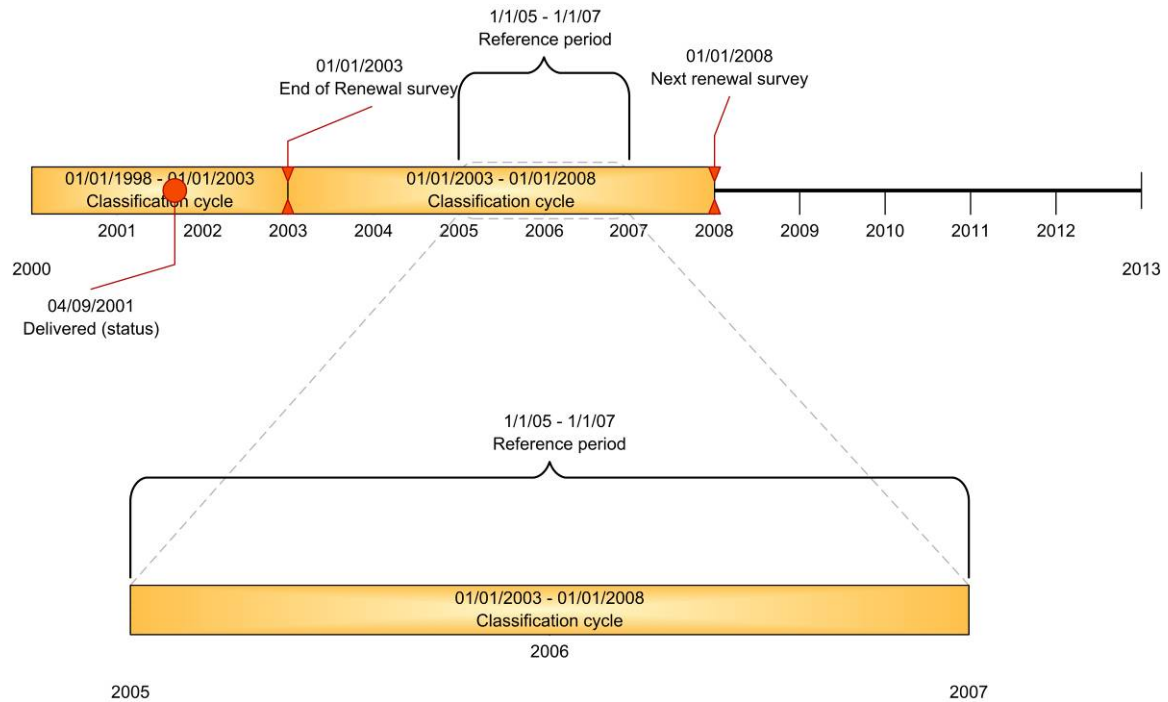
The following diagrams summarise the scope of information to be provided (“Reference date” is the date when data is extracted). The corresponding data to be sent for those examples are described at the end of this document.



## 1 Sample 1 : Ship imo no 1234561

The first sample is a ship with a renewal during the 2 years rolling period and some status also (suspension and reinstatement).

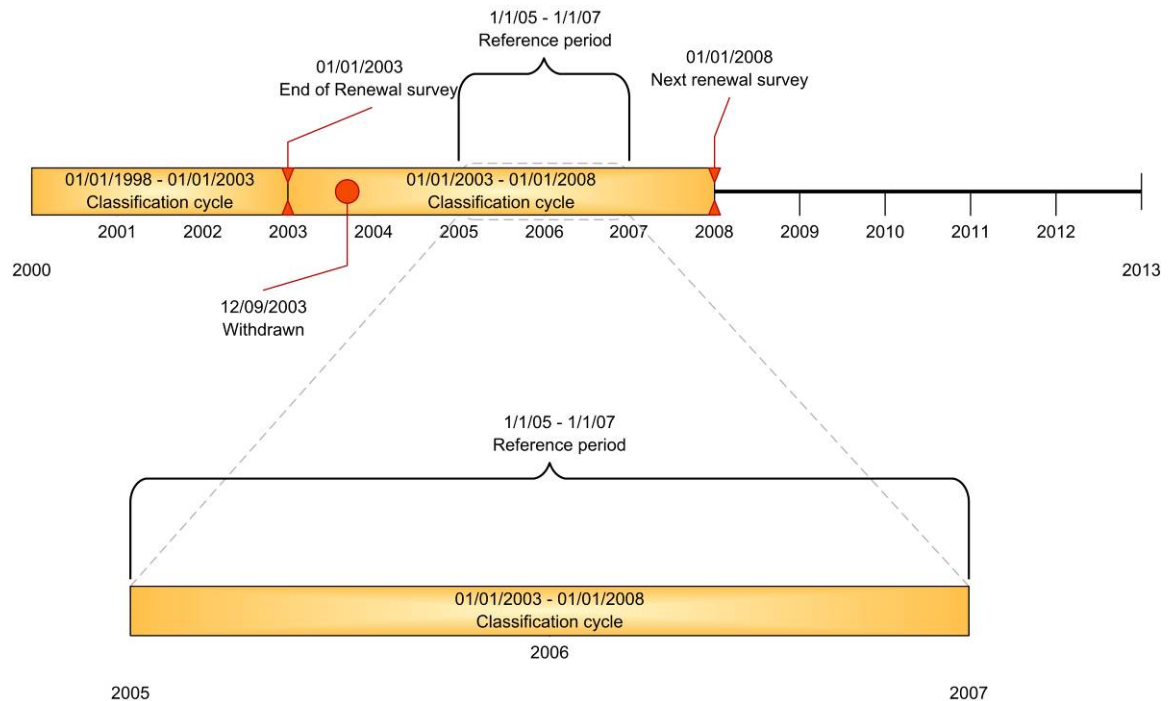
In this case, the latest cycle is reported and all status during the 2 years rolling period are reported.



## 2 Sample 2 : Ship imo no 1234562

The ship is classed during the period but no event during the 2 year rolling period (no renewal, no status).

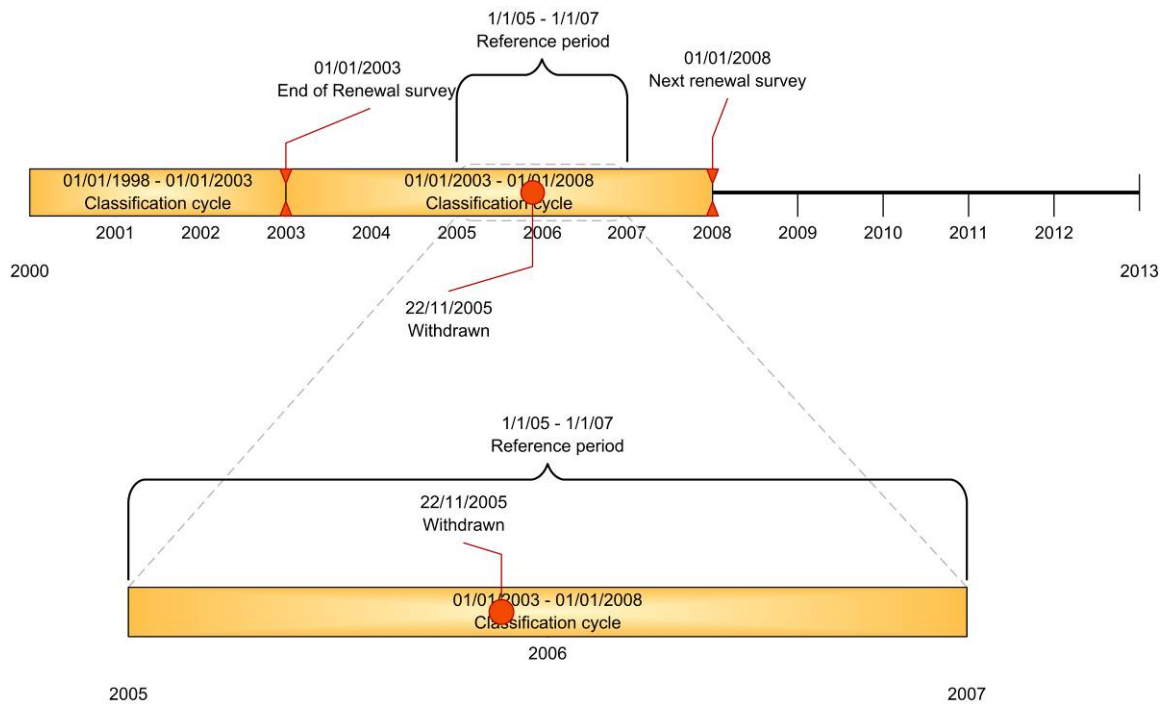
In this case, the ship is reported with the previous and next renewal dates without any status.



## 3 Sample 3 : ship imo no 1234563

The ship has been withdrawn before the 2 year rolling period but the renewal was scheduled after the 2 year period.

In this case, the ship is not sent since she is withdrawn for more than 2 year.



#### 4 Sample 4 : ship imo no 1234564

The ship has been withdrawn during the 2 year cycle.

In this case the previous and next renewal dates are reported with the status withdrawn.

Those sample are for the classification but the same principles can be applied to the SMC and DOC.

#### • Information concerning the SMC:

Equasis requires information on the SMC issued by IACS members, for ships of 500GT and over, with IMO numbers.

Equasis is to be provided with the following information:

- Date of the latest renewal audit and date of expiry of the certificate which appear in the time frame of the last 730 days (2 years) or if the 2 year cycle is included between the 2 dates,
- Statuses which occurred in the last 730 days (2 years). For each status, the date is to be provided.

#### • Information concerning the DoC:

Equasis requires information on the DoC issued by IACS members.

Equasis is to be provided with the following information:

- Dates of the latest renewal audit and date of expiry of the certificate which appear in the time frame of the last 730 days (2 years) or if the 2 year cycle is included between the 2 dates,
- Statuses which occurred in the last 730 days (2 years). For each status, the date is to be provided.

### **2.2 Scope of supply from EQUASIS to IACS Secretariat**

Equasis provides the IACS secretariat with a data file which contains an up to date report of all ships classed by their members.

#### **Content:**

For all ships which are classed by an IACS classification society:

- IMO number,
- ship name (as recorded in the Equasis database and provided by LR-F)
- name of the existing class society,
- date of the last renewal survey,
- date of the next renewal survey,
- latest status,
- and the attached reason for the status.

#### **Frequency:**

The file is sent on a weekly basis.

### **2.3 Responsibilities**

IACS Members are responsible for delivering data in conformity with this specification document.

Each IACS member registers a point of contact name and its e-mail address (see list in §1.2). Data files sent from unregistered e-mail addresses are rejected by Equasis.

Equasis is responsible for verification and conformity of the data to the specifications.

- If the data file provided by an IACS member is not of a compliant format and structure and codification (e.g. does not comply with the XML schema file, see §3.3), it is not loaded into Equasis.
- If more that 30% of the data does not comply with the business rules (see §3.3), the whole data file is rejected and no data is loaded into Equasis.

Equasis does not perform any consistency check in the data provided, and uploads the data supplied in the system without alteration.

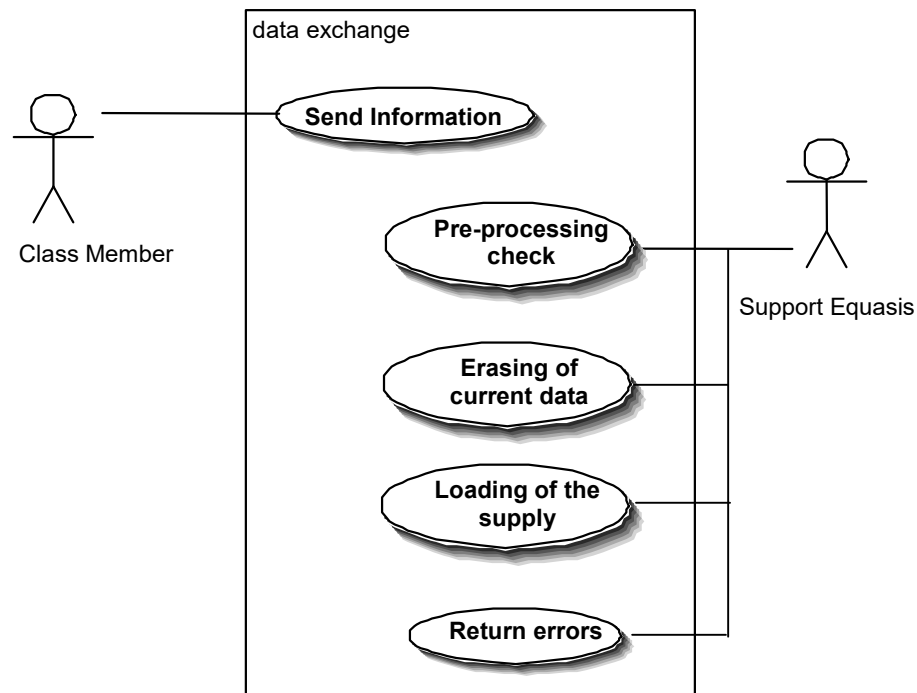
The quality of the Equasis information system data relies upon the quality of the data transmitted by the IACS members and the quality of the service will be degraded by infrequent supply of data.

### 3. Detailed specifications

#### 3.1 Communication procedures

##### 3.1.1 Standard scenario

In normal situations, the following scenario applies:



1. The IACS member sends a data file to the Equasis Technical Unit.
2. The Equasis Technical Unit sends an acknowledgment of receipt by email.
3. The Equasis Technical Unit performs a pre-processing check of the following :
  - the electronic mail address of the provider (as listed in §1.2),
  - the file format (using the “XML schema” file, see §3.3)

If the result of this pre-processing check is not positive, the datafile is rejected (with the rules defined in 2.3).

4. The Equasis Technical Unit replaces the data from the database with the datafile.
5. The Equasis Technical Unit sends a report to the provider. This report contains a description of the errors found during the upload process.
6. It is then the responsibility of the data provider to correct the errors and re-send the amended file reloading.

### 3.1.2 Communication interfaces

The format of the exchanged files is XML.

The files are exchanged through standard electronic mail (SMTP protocol).

### 3.1.3 Electronic mails format

IACS member send their data file to the Equasis Technical Unit's e-mail address :

[equasis@equipement.gouv.fr](mailto:equasis@equipement.gouv.fr)

The object of the e-mail is "Equasis update from <name of class> <date>".

Where : <name of class> is the name of the IACS member ; <date> is the date "reference date". Format to be used is yyymmdd.

After having treated the data file, the Equasis Technical Unit sends an e-mail back to the IACS member.

In case of successful treatment, the object of the e-mail is "Equasis ACK for <name of class> <date>".

In case of unsuccessful treatment, the object of the e-mail is "Equasis report for <name of class> <date>". The e-mail contains an "error file" which lists the errors encountered during the treatment.

## 3.2 Data files

### 3.2.1 Data file provided by IACS Members

- The data files sent by IACS members to Equasis are named "Ccyymmdd.xml". Where yymmdd represents the date the file was extracted and CC is the IACS member code (see § 3.4.1).
- The data file is embedded in a compressed archive file which name is "Ccyymmdd.zip". The file format is ZIP.

### 3.2.2 Code file

All the decoding tables used in the exchange are gathered in a unique code file. The code file name is "codeIACS.xml".

This file is not due in the periodical supply.

The decoding tables are initialised under the responsibility of IACS secretariat and according to the data format described below. All changes under the responsibility of IACS secretariat must be accompanied by advices to all parties and keep compatibility at least for a period of two rolling years.

### 3.2.3 Error file

The file which is sent back to the IACS member in case of errors is named : "OriginalFileName.bad.xml". Where OriginalFileName is the name of the data file sent to Equasis.

The error file is embedded in a compressed archive file which name is "OriginalFileName.bad.zip". The file format is ZIP.

### 3.2.4 Data file provided by Equasis

The data file sent by Equasis to the IACS secretariat is named "IACSyymmdd.xml". Where yymmdd is the date of data extraction.

## 3.3 Description of the datafile provided by IACS members

This chapter describes:

- the data to be include in the data file, and
- the business rules that the data have to comply to.

The Data file format is described in a "XML Schema" file (XSD file). This XSD file is used to control the data file format. It is provided as an annex to this document.

### 3.3.1 Common information

For all chapter 3.3:

- Item [**idIMO**] : A ship is identified by its unique "IMO" number (which is coded with 7 digits). This information is always mandatory. The checksum must be checked. The ship must be known in the Equasis database. Information about unknown ships from Equasis are reported as errors.
- Item [**provider**] : This item identifies the classification society. Each classification society is identified by its code (see § 3.4.1.). This information is always mandatory.
- Item [**idCompany**] : A company is identified by its unique "IMO" number (which is coded with 7 digits). The Company must be known in the Equasis database. This information is always mandatory.
- Item [**dReference**] : The date of the extraction of data (as indicated in the header of the file).

### 3.3.2 Root of the datafile

In each file provided by IACS Members, a root is expected to be filled in as follows:

Item	Occ.	Type	Length/ format	Description
release	1	Char	1-3	Release Number of the data protocol. The current number to be used for this present protocol is "1.8"
Provider	1	Char	2	Code (according to chapter 3.4.1) of the classification society provider of the file
dREFERENCE	1	Date	yyyymmdd	Date of Reference : the date at which the data was extracted.
classSupplied	1	Char	[Y] or [N]	Indicates if Yes or No the file includes information on Class certificates
smcSupplied	1	Char	[Y] or [N]	Indicates if Yes or No the file includes information on SMC certificates
docSupplied	1	Char	[Y] or [N]	Indicates if yes or No the file includes information on DoC

The same root is returned in the error file.

### 3.3.3 Information concerning the classification of ships

The information concerning the classification of a ship is divided into several fields which are defined as follows:

#### .Ship data description

Item	Occ.	Type	Length/ format	Description
idIMO	1	Int	7	IMO Number of the ship

#### .Certificate (Survey) Data description (certificate tag)

This survey information is linked to the ship element.

The survey information is inside the *certificate* tag with attribute *cTypeCertificate* equals to *CLASS*

These fields are provided for each classification cycle:

Item	Occ.	Type	Length/ format	Description
cTypeCertificate1Value:CLASS				
dSurvey	1	Date	yyyymmdd	Date of the previous renewal surveys (beginning of the classification cycle)
dNextSurvey	0-1	Date	yyyymmdd	Due of the next renewal survey (end of the classification cycle)

**Business rules:**

- The “dSurvey” date is always before or the same as the date of reference. This information is mandatory.
- The “dNextSurvey” date is always after the “dSurvey” date.

**.Status Data description**

This Status element is linked to the certificate element.

These fields are provided for each status description.

Item	Occ.	Type	Length/ format	Description
cStatus	1	Char	1 to 3	Code of the status given to the ship
dStatus	1	Date	yyyymmdd	Date of status delivery
cReason	0-1	Char	1 to 2	Code of the reason for the change of status

**Business rules:**

- The “cStatus” of a ship is supplied as a code according to chapter 3.4.3.
- The date “dStatus” is always before the date of reference.
- In the case where several cStatus are provided for with the same date the order of the line in the XML file will determine the order of the operation.  
But this should be very rare and avoided as much as possible
- The “cReason” is provided as a code according to chapter 3.4.4. This data is mandatory only when the “cStatus” field is equal to “suspended” or “withdrawn”.
- Suspension that is less than 7 days shall not to be reported.
- Suspension of ship “other” (IACS type ZZ) shall not to be reported

**3.3.4 Information concerning Safety Management Certificates**

The information concerning a SMC is divided into several fields which are defined as follows.

**.Certificate Data description**

This Certificate element is linked to the ship element

These fields are provided for each certificate.

Item	Occ.	Type	Length/ format	Description
cFlag	1	Char	3	Code of the flag on whose behalf SMC is issued.
cConvOrVol	1	Char	[V] or [C]	This pointer shows in which framework the SMC certificate is delivered : voluntary (V) or statutory (C).
dSurvey	1	Date	yyyymmdd	Date of completion of the SMC previous renewal survey
dNextSurvey	0-1	Date	yyyymmdd	<b>Date of SMC expiry.</b>
idCompany	0-1	Int	7	IMO Company Number of the company indicated on the SMC

**Business rules:**

- A classification society may audit several companies and ships.
- The “cFlag” is issued by a code according to chapter 3.4.2.
- The “cConvOrVol” pointer indicates the framework in which the delivery of the SMC intervenes. This delivery may be the outcome of a voluntary action , in this case the pointer takes the “V” value. The delivery may be the outcome of a regulation obligation, in this case the pointer takes the “C” value.
- The “dSurvey” date is always before or the same as the date of reference.
- The “dNextSurvey” date is always after the “dSurvey” date.

**.Status Data description**

This Status element is linked to the certificate element.

These fields are provided for each status description.

Item	Occ.	Type	Length/ format	Description
cStatus	1	Char	1 to 3	Code of the SMC status given to the ship
dStatus	1	Date	yyyymmdd	Date of status delivery
cReason	0-1	Char	1 to 2	Code of the reason for the change of status

- The “cStatus” of a SMC is supplied as a code according to chapter 3.4.5.
- The date “dStatus” is always before the date of reference. The date is mandatory for each status.

- In the case where several cStatus are provided for with the same date the order of the line in the XML file will determine the order of the operation.  
But this should be very rare and avoided as much as possible
- The “cReason” is given as a code according to chapter 3.4.6. This information is optional.

### 3.3.5 Information concerning the Documents of Compliance

#### .Company description

Item	Occ.	Type	Length/ format	Description
ID_COMPANY	1	Int	7	IMO Company Number of the company indicated on the DoC

The information concerning a DoC is divided into several fields which are defined as follows.

#### .Certificate Data description

This certificate element is linked to the company element.

These fields are provided for each certificate.

Item	Occ.	Type	Length/ format	Description
cFlag	1	Char	3	Code of the flag on whose behalf the DoC was issued.
shipType	1-*	Char	2-4	Code(s) of the ship types for which the DoC is delivered to the Company.
dSurvey	1	Date	yyyymmdd	Date of completion of the survey
dNextSurvey	0-1	Date	yyyymmdd	Date of DoC expiry

#### Business rules:

- A DoC is issued to a given company for one or several ship type(s) and one flag.
- A classification society audits several companies and ships.
- The “cFlag” is issued by a code according to chapter 3.4.2.
- The “shipType” field is populated by a list of ship types for which the company is approved for that flag. The list of ships types is given on the DoC. Ship types are defined with a code according to chapter 3.4.7. This is always the complete list of approved ship types, regardless whether this is covered on a single DOC certificate or a combination of certificates, such as a full term and an interim.
- The “dSurvey” date is always before or the same as the date of reference.
- The “dNextSurvey” date is always after the “dSurvey” date.

Where a classification societies carries out an audit to add (or remove) a ship type from the DOC for a particular company and flag, this shall be recorded as a status change. In this

scenario it is assumed that the overall dates of the DOC renewal audit do not change in accordance with standard IACS procedure.

### **.Status Data description**

This Status element is linked to the company element.

These fields are provided for each status description.

Item	Occ.	Type	Length/ format	Description
cStatus	1	Char	1 to 3	Code of the DoC status given to the ship
dStatus	1	Date	yyyymmdd	Date the status was delivered
cReason	0-1	Char	1 to 2	Code of the reason for the change of status

- The “cStatus” of a DoC is supplied as a code according to chapter 3.4.5.
- The date “dStatus” is always before the date of reference. The date is mandatory for each status.
- In the case where several cStatus are provided for with the same date the order of the line in the XML file will determine the order of the operation.  
But this should be very rare and avoided as much as possible.
- The “cReason” for the change of the DoC status is given as a code according to chapter 3.4.6. This data is optional.

### 3.4 Description of the code file

In all the decoding tables, one label is associated with each code.

The decoding tables needed for the exchange are the following:

General	•IACS members
	•Flag
Classification	•Status
	•Reason for a change of status
SMC and DoC	•Status
	•Reason for a change of status
DoC only	•ShipType

#### 3.4.1 IACS Members Codification

Each classification society is described by a 2 letter code:

Code	IACS member
AB	American Bureau of Shipping
BV	Bureau Veritas
CC	China Classification Society
CR	Croatian Register of Shipping
VL	DNV GL
IR	Indian Register of Shipping
KR	Korean Register
LR	Lloyd's Register
NK	Nippon Kaiji Kyokai
PR	Polish Register of Shipping
RI	RINA Services
RS	Russian Maritime Register of Shipping

### 3.4.2 Flag codification

#### .Data description

The information is divided into several fields which are defined in the following table:

Item	Occ.	Type	Length/ format	Description
CODE_FLAG	1	Char	3	Code (unique identifier) used in the IACS information system
LABEL_FLAG	1	Char	1-256	String used to define the flag code

#### .Decoding values

As provided by IACS.

### 3.4.3 Classification status codification

#### .Data description

The information is divided into several fields which are defined in the following table:

Item	Occ.	Type	Length/ format	Description
CODE_CLASS_STATUS	1	Char	3	Code (unique identifier) used in the IACS information system
LABEL_CLASS_STATUS	1	Char	1-99	Term used to define the code of the status of the class certificate

#### .Decoding values

del	in class
sus	suspended
rei	reinstated
wit	withdrawn
rea	reassigned

### 3.4.4 Codification of reasons for a change of classification status

#### .Data description

The information is divided into several fields which are defined in the following table:

Item	Occ.	Type	Length/ format	Description
CODE_CLASS_REASON	1	Char	1-3	Code (unique identifier) used in the IACS information system
LABEL_CLASS_REASON	1	Char	1-256	String used to define the code for the reason of the change of status of the class certificate.

#### .Decoding values

- a Survey overdue
- b Non-compliance with conditions of class
- c Casualty
- d by society for other reasons
- 0 Transfer of class to another IACS member
- 1 Transfer of class to a non-IACS society
- 2 Sold for recycling (scrap)
- 3 Owner's request for other reasons

### 3.4.5 SMC and DoC status codification

#### .Data description

The information is divided into several fields which are defined in the following table:

Item	Occ.	Type	Length/ format	Description
CODE_SMCDOC_STATUS	1	Char	3	Code (unique identifier) used in the IACS information system
LABEL_SMCDOC_STATUS	1	Char	1-99	String used to define the code of the status of the SMC

#### .Decoding values

- del delivered
- wit withdrawn
- rea reassigned

*Note : value "sus", "rei", "ast", "rst" are not available (compared to previous versions of the document)*

### 3.4.6 Codification of reasons of change of SMC and DoC status

#### .Data description

The information is divided into several fields which are defined in the following table:

Item	Occ	Type	Length/ format	Description
CODE_SMCDOC_REASON	1	Char	1-3	Code (unique identifier) used in the IACS information system
LABEL_SMCDOC_REASON	1	Char	1-256	Term used to define the code for the reason of the change of status.

#### .Decoding values

- a periodical verification audit not requested
- b corrective action not completed within agreed schedule
- c unresolved major non-conformity
- d amendments to the ISM code are not taken into account
- e by society for other reasons
- 0 transfer of certification of management systems to another IACS member
- 1 transfer of certification of management system to a non-IACS body
- 2 sold for recycling (scrap)
- 3 company's request for other reasons

### 3.4.7 Ship type Codification

#### .Data description

The information is divided into several fields which are defined in the following table:

Item	Occ.	Type	Length/ format	Description
CODE_SHIP	1	Char	2-4	Code (unique identifier) used in the IACS information system
LABEL_SHIP	1	Char	1-256	String used to define the Ship Type code

#### .Decoding values (as per defined in the ISM code)

- PS Passenger Ships
- PSHC Passenger HSC
- OT Oil Tankers
- CT Chemical Tankers
- GC Gas Carriers
- BC Bulk Carriers
- CHSC Cargo HSC
- OCS Other Cargo Ships
- MODU MODU's

**3.4.8 IACS ship types**

OT	Oil Tanker Flag
CT	Chemical Tanker
GT	Gas Tanker
LC	Other Bulk Liquid Carrier
BC	Bulk Carrier (all combinations OB, OBO, OO)
GC	General Cargo Vessel (including Ro-Ro Cargo, Container, Reefer, HSC Cargo)
PS	Passenger Vessel (including Passenger / General Cargo, Passenger / Ro-Ro, Passenger HSC)
ZZ	Other Vessel Type

### 3.5 Description of the code file error file

#### .Principle

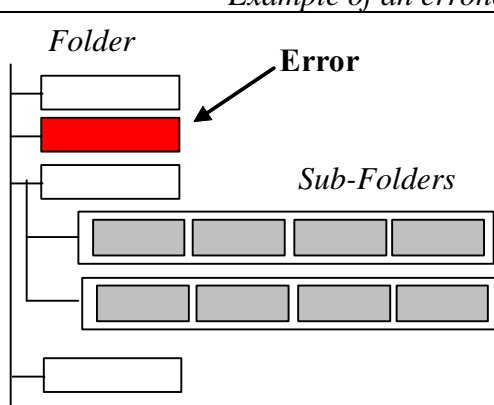
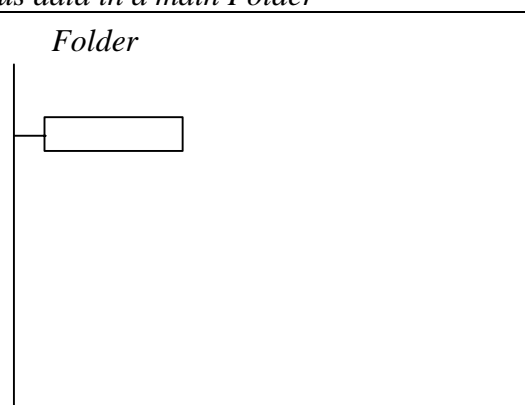
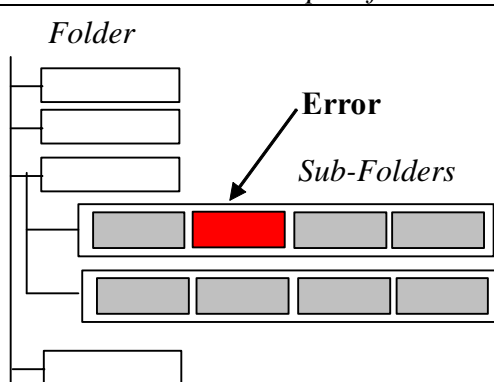
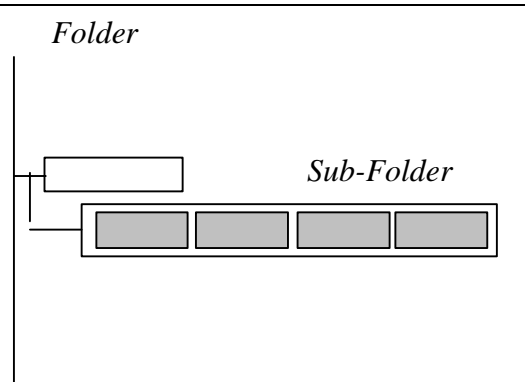
When there are errors in the original file, the Equasis Technical Unit sends an e-mail back with the erroneous data to the sender. This file contains the name of the original file with the extension “.bad.xml”.

#### .Description of the error file

The file is in the standard XML format and data is shown in the same manner than in the original one. The root of this file is the same than the header of the original file.

The erroneous file is made with all the folders that the Equasis automated process cannot manage to integrate or to treat entirely. The rules used to check the data quality are the ones indicated in the business rules of the original data.

#### .Example

Original file	Content of the erroneous file returned
<i>Example of an erroneous data in a main Folder</i>	
	
<i>Example of an erroneous data in a Sub-Folder</i>	
	

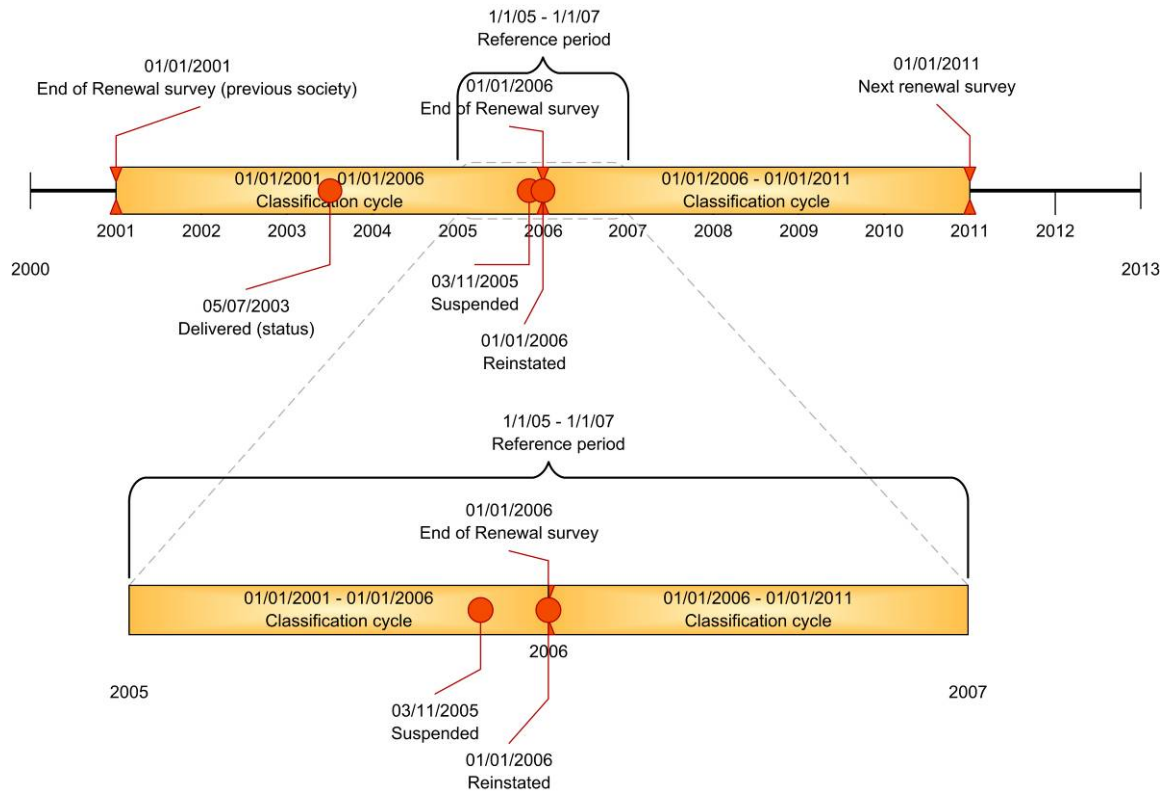
## 4. Annex:examples

### 4.1 XML datafile examples

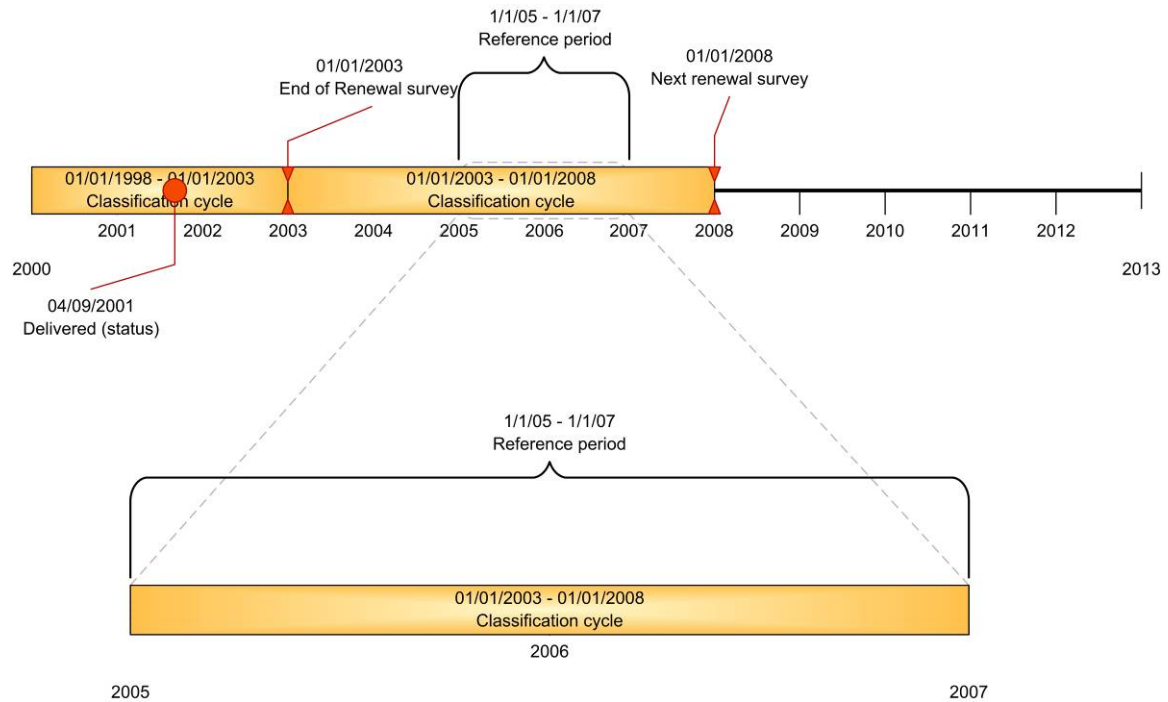
XML code of the examples from §2.1:

Date of reference : 1/1/2007

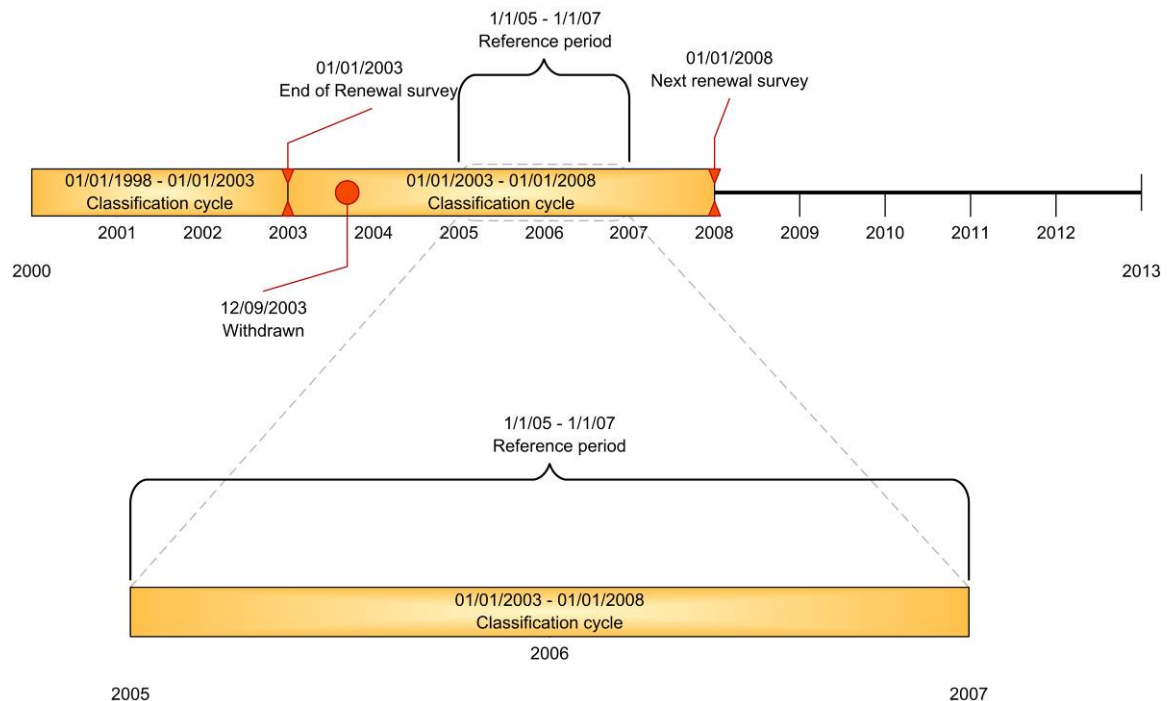
```
<classExport
  xmlns:xsi=http://www.w3.org/2001/XMLSchema-instance
  xsi:noNamespaceSchemaLocation="classImportv1.8.xsd"
  provider="BV"
  release="1.8"
  dReference="20070101"
  classSupplied="Y"
  smcSupplied="N"
  docSupplied="N">
```



```
<ship idIMO="1234561">
  <certificate
    cTypeCertificate="CLASS"
    dSurvey="20060101"
    dNextSurvey="20110101">
    <status cStatus="sus" dStatus="20051103" cReason="d"/>
    <status cStatus="rei" dStatus="20060101"/>
  </certificate>
</ship>
```

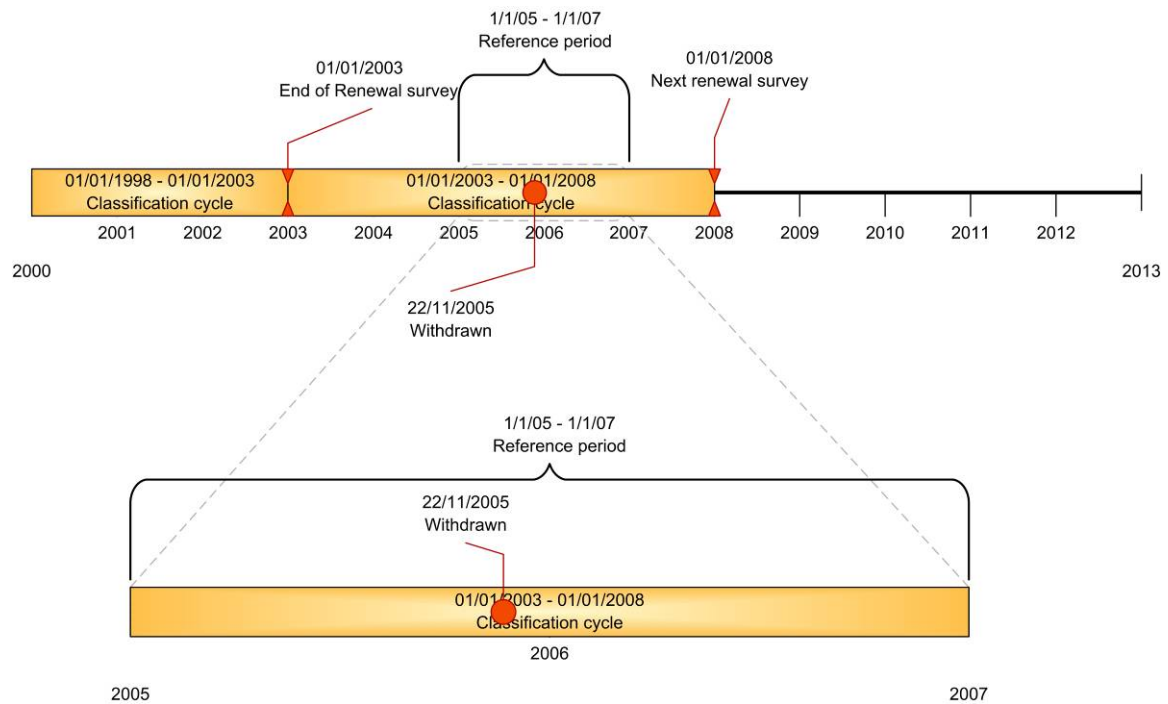


```
<ship idIMO="1234562">
  <certificate
    cTypeCertificate="CLASS"
    dSurvey="20030101"
    dNextSurvey="20080101"/>
</ship>
```



NOTHING: (including if the (next) renewal survey is under the 2 year rolling period).

=> if the ship is withdrawn for more that 2 years ; she is not sent.



```
<ship idIMO="1234564">
  <certificate
    cTypeCertificate="CLASS"
    dSurvey="20030101"
    dNextSurvey="20080101">
    <status cStatus="wit" dStatus="20051122" cReason="0"/>
  </certificate>
</ship>
```

</classExport>

## 4.2 XML schema example

```
<?xml version="1.0" encoding="UTF-8" ?>
- <codeIACS xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
  xsi:noNamespaceSchemaLocation="P:\groupes\Applications\Equasis\2 spec
  fonction\IACS\1.fonctionnel\codeIACS.xsd" release="1.0">
- <table name="status">
  <code id="del" label="in class" />
  <code id="sus" label="suspended" />
  <code id="rei" label="reinstated" />
  <code id="wit" label="withdrawn" />
  <code id="rea" label="reassigned" />
</table>
- <table name="reason">
  <code id="a" label="survey overdue" />
  <code id="b" label="non compliance with recommendations and/or conditions of class" />
</table>
- <table name="shiptype">
  <code label="passenger ship" id="PS" />
  <code label="oil tanker" id="OT" />
</table>
- <table name="flag">
  <code label="France" id="FR" />
</table>
</codeIACS>
```

End of Document
--------------------

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# TL-PR 17 Reporting on deficiencies possibly affecting the implementation of the ISM Code on board

## INTRODUCTION

The purpose of this Procedural Requirement is to ensure that the Organisation responsible for the SMS audit of the ship and the flag Administration, as appropriate, are notified when deficiencies possibly affecting the implementation of the ISM Code on board are identified by a surveyor.

## 1. SCOPE AND APPLICATION

1.1 This document describes the procedure for reporting on deficiencies possibly affecting the implementation of the ISM Code on board during class and statutory visits and the subsequent action to be taken.

1.2 This procedure applies to all Classification Societies certified to QSCS.

## 2. DEFINITIONS

2.1 "International Safety Management (ISM) Code" means the International Management Code for the Safe Operation of Ships and for Pollution Prevention.

2.2 "Document of Compliance" (DOC) means a document issued to a Company that complies with the requirements of the ISM Code.

2.3 "Safety Management Certificate" (SMC) means a document issued to a ship which signifies that the company and its shipboard management operate in accordance with the approved safety management system.

2.4 "Safety Management System" (SMS) means a structured and documented system enabling Company personnel to implement effectively the company's safety and environmental protection policy.

2.5 "Deficiency" means a defect in, or a failure in the operation of the ship, a part of the ship's structure or its machinery, equipment, fittings, or a failure in the documentation.

2.6 "Report" means the documentation completed by the surveyor containing as a minimum the information shown in Annex 1. The report may be in any format decided by the Classification Society.

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Note:

1. This Procedural Requirement applies from 1 January 2021.

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2.7 “Leading indicator” means a measure preceding or indicating a future event used to drive and measure activities carried out to prevent and control injury, or damage to property or the environment.

2.8 “Surveyor” means, for the purpose of this PR, anybody attending on board for class or statutory purposes other than an ISM audit.

### **3. WHEN TO COMPLETE THE REPORT**

3.1 When deficiencies possibly affecting the implementation of the ISM Code on board are identified by the surveyor during a periodical (Annual/Intermediate/Special) Class Survey or occasional Class Survey, Statutory Surveys, additional surveys relevant to Port State Control, Flag State Inspections or any other occasion, a Report is to be completed by the surveyor.

3.2 The Classification Society shall internally document implementation of TL-PR17, regardless if deficiencies have been found (for example “Deficiencies reported under TL-PR 17: Yes/No”).

### **4. WHAT TO REPORT**

4.1 The following shall be reported by the surveyor:

- i) deficiencies relating to technical conditions, combination of which indicate that the maintenance procedures specified in the SMS documentation may not be effectively implemented (Technical deficiencies);
- ii) deficiencies caused by deviation from operational requirements (Operational deficiencies);
- iii) deficiencies relating to deviation from requirements for documentation and reporting (Documentation deficiencies);
- iv) other deficiencies which may seriously affect the safety of ship, personnel or the environment (Other deficiencies).

See Annex 2 for examples.

4.2 The following shall not be reported by the surveyor:

- i) technical deficiencies, which are considered normal wear and tear for the ship type and age;
- ii) deficiencies which have already been identified by the Company or the crew, reported as appropriate, and are being dealt with adequately by the Company including the personnel working on board.

4.3 The report need not be issued when:

- i) at surveys/attendance resulting from Port State or Flag State detentions there is evidence available that the organisation responsible for the SMS audit of the ship has been notified and is also required to carry out an additional ISM audit;

- 
- ii) an auditor from the organisation, responsible for the SMS audit of the ship is present on board performing an audit and a surveyor has communicated the deficiencies directly to the auditor. This shall be documented.

## **5. REPORTING AND FOLLOW UP**

5.1 The surveyor shall make the report available to the master or Company representative and advise that it may be submitted to the organization responsible for the SMS audit of the ship as specified in the Continuous Synopsis Record

5.2 The report shall be submitted to the responsible department within the surveyor's Classification Society for review.

5.3 When the responsible department within the surveyor's Classification Society assesses that the reported deficiencies are not affecting the implementation of the ISM Code on board, the report is to be filed.

5.4 When the responsible department within the surveyor's Classification Society assesses that the reported deficiencies are possibly affecting the implementation of the ISM Code on board, the report shall be sent within 10 working days from the date when the report is received to either:

- a. the Classification Society that acts as the Recognised Organisation (hereinunder referred to as the Responsible Organisation) and to the flag Administration of the ship if specifically required and in accordance with the flag Administration requirements. The contact details of the Responsible Organisation can be found on the IACS website: [www.iacs.org.uk](http://www.iacs.org.uk), located under: TL-PR17 and TL-PR18 Contact Details, or
- b. the flag Administration, if the SMS was audited by the flag Administration or an organisation other than a Classification Society acting as a Recognized Organisation in 5.4 a.

If for any reason the report is not sent within 10 working days of receipt, the Classification Society shall document reasons for the delay.

5.5 The Responsible Organisation shall review the report and finally judge whether the reported deficiencies are possibly affecting the implementation of the ISM Code on board. When it is adjudged that the reported deficiencies are possibly affecting the ISM implementation, decision on what action, if any, should be taken.

5.6 If deemed appropriate the report may be forwarded by the Responsible Organisation to the Recognized Organisation that has audited the Company for the issuance of DOC for their review and follow up.

5.7 The flag Administration shall be kept informed if specifically required and in accordance with flag Administration requirements.

5.8 Reports judged as possibly affecting the implementation of the ISM Code on board should be collected in a database which each Responsible Organisation should establish and maintain. The database may also include other data collected by the Responsible Organisation.

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5.9 Following Responsible Organisation's internal procedures, reports should be analysed with a view to derive leading indicators. The leading indicators identified by the Responsible Organisation may be used as target areas for audits.

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# **Annex 1- Minimum contents of the Report on deficiencies possibly affecting the implementation of the ISM Code on board**

The report shall have a title.

1. Identification of ship:
  - IMO number
  - Ship's name
  - Flag
2. Identification of Survey/Attendance
3. Identification of SMC and DOC issuer:
  - Organisation responsible for the SMS audit of the ship as specified in the Continuous Synopsis Record
  - Issuer of the DOC
4. Category of deficiency:
  - Technical
  - Operational
  - Documentation
  - Other
5. Details of deficiency

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## Annex 2 - Guidance for what to report

Category of deficiency	Examples
<b>Technical deficiencies</b>	<ul style="list-style-type: none"><li>• Poor condition of hull, main deck, closing appliances, railings, ladders.</li><li>• Defective/missing fire fighting and life saving appliances, oil pollution prevention equipment.</li><li>• Leaks and oil in E/R spaces, pump-rooms, etc.</li><li>• Deficiencies relating to technical conditions which may lead to the limitation, suspension or withdrawal of a Class or Statutory Certificate.</li></ul>
<b>Operational deficiencies</b>	<ul style="list-style-type: none"><li>• Accidents and hazardous occurrences not reported to the Company.</li><li>• Crew not able to satisfactorily conduct practical demonstrations of shipboard operations, such as starting the fire pump, emergency generator, lifeboat engine, etc.</li><li>• Crew not able to communicate effectively in the execution of their duties.</li><li>• Inability of crew to perform satisfactorily mandatory drills such as fire drills, LSA drills, pollution prevention drills, etc.</li></ul>
<b>Documentation deficiencies</b>	<ul style="list-style-type: none"><li>• Expired classification or statutory certificates or certificates not endorsed as required.</li><li>• Overdue surveys, overdue audits or overdue conditions of class.</li><li>• Ship's copy of Document of Compliance (DOC) not valid or not relevant to ship type.</li><li>• Original Safety Management Certificate (SMC) has incorrect data or endorsements missing.</li><li>• Emergency response plans and relevant SOPEP manual not available (contact points ashore should be current and corresponding with Company name/address on DOC and SMC).</li><li>• Entries for relevant drills etc. in Log Book not completed in accordance with mandatory requirements.</li><li>• Incorrect or missing entries in the Oil Record Book.</li><li>• Fire Plan not up to date</li></ul>
<b>Other deficiencies</b>	<ul style="list-style-type: none"><li>• Ship's complement not complying with the Minimum Safe Manning Certificate.</li><li>• Master, officers and ratings not certified as required by the STCW Convention.</li><li>• Serious deficiencies in respect to housekeeping and maintenance of galley, crew accommodation and provisions stores.</li><li>• Port State or Flag State detentions: if no evidence available, that the organisation responsible for the SMS audit of the ship as specified in the Continuous Synopsis Record has been notified.</li></ul>

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# TL-PR 18 Transfer of Safety and Security Management Systems Certification

## Introduction

This Procedural Requirement governs the transfer of ISM and ISPS Code certification from one Society (the losing Society) to another Society (the gaining Society), and is applicable irrespective whether the Certification is mandatory or voluntary.

## Application

This PR shall apply to all cases of transfer of ISM and ISPS Code certification between Classification Societies who implement TL-PR 9/TL-PR 24, except as noted in section 2.0 below.

Societies shall follow this Procedural Requirement when a request from a Company is received for the transfer of ISM and / or ISPS Code Certification from one Society to another Society.

Annex 1      Process Flow Chart for transfer of certification

Annex 2      Link to Contact Points

Annex 3      Transfer of Certification (Form TC)

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## Notes:

1. This Procedural Requirement applies from 1 February 2013.

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## **1.0 Definitions**

- 1.1 “Gaining Society (GS)” means a Society that receives a request for a transfer of ISM Code certification for a Company or ship; or, the transfer of ISPS Code certification for a ship from another Society.
- 1.2 “Losing Society (LS)” means a Society from which ISM Code certification or ISPS Code certification is being transferred.

## **2.0 General**

- 2.1 This procedure shall not apply in cases involving a change of management company.

## **3.0 Gaining Society’s Obligations and Reporting**

- 3.1 On receiving a request from a Company to take over its ISM and / or ISPS Code certification from another Society, the GS must inform the Company, in writing, that an application for such certification can only be accepted by the GS after it has received confirmation (with supporting documentation) that:
- (i) The existing certificate has not been withdrawn or otherwise invalidated by the LS or the Flag;
  - (ii) All verifications initiated by the LS have been satisfactorily completed by the LS, unless otherwise agreed between the gaining and losing Societies; and
  - (iii) Any major non-conformities have been closed out or down-graded by the LS.
- 3.2 Where a written request for transfer of certification has been received from the Company, the GS shall notify the LS of the Company’s request by using Step 1 of Form TC.
- 3.3 If evidence of the certification status listed in Step 2 of Form TC is not received from the LS within three (3) working days from notification, the GS may utilize the evidence and certification information provided by the Company. In such cases, a statement reminding the Company that the conditions of 3.1 are still applicable shall be given when the GS requests this information from the Company.
- 3.4 An audit is required for the issue of a new certificate. If the certificate has been issued by the flag, the auditor may endorse the certificate on behalf of the administration if authorised to do so.
- 3.5 The audit by the GS shall address all elements of the ISM (ISPS) Code, to the extent that the RO (RSO) is so authorized by the Administration, any flag Administration requirements and any matters arising out of the last audit carried out by the LS. Where the transfer of certification occurs within the annual, intermediate or renewal due date window, the corresponding audit may serve as the audit required in 3.4.
- 3.6 If the audit is successful and a new certificate is issued by the GS, the GS must inform the LS, within one (1) month of the date of issue, by completing Step 3 of Form TC.
- 3.7 When the audit is not successful and, as a result, the transfer of certification is not accepted, the GS shall inform the LS, within two (2) working days of the date of the

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audit, by completing Step 3 of Form TC and attaching the audit report in which the reason for the rejection should be fully explained.

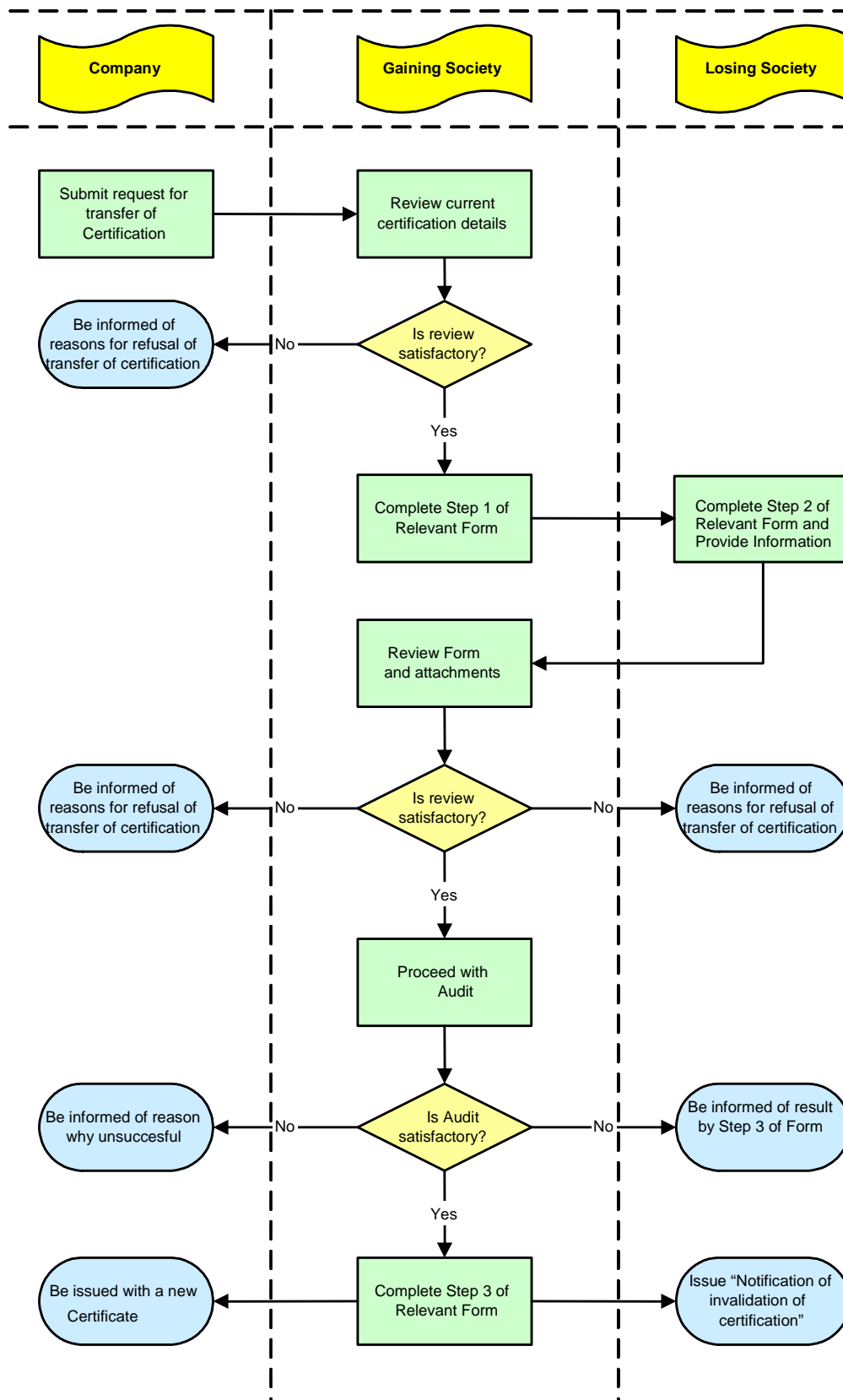
#### **4.0 Losing Society's Obligations and Reporting**

- 4.1 The LS shall co-operate by providing the information specified in Step 2 of Form TC within three (3) working days of the receipt of the completed Step 1. The documentation to be attached to the form by the LS includes:
- (i) The last external audit report, including any non-conformities and failures identified;
  - (ii) In the case of ISM non-conformities this should include the corrective action plan and the time period(s) proposed for implementation;
  - (iii) In the case of ISPS failures, evidence that corrective action has been proposed and the failure has been properly addressed; and
  - (iv) Any other information that may be relevant to the decision to accept or reject the transfer of certification.
- 4.2 Upon receipt of information that a new certificate has been issued by the GS, the LS shall issue a "Notification of Invalidation of Certification" in accordance with TL-PR 9 or TL-PR 24 as applicable, ensuring that the GS is included in its circulation.
- 4.3 Upon receipt of information that the audit is not successful because of an unresolved major non-conformity and / or failure raised by the GS, the LS shall review the findings and take action as appropriate.

#### **5.0 Other Requirements**

Any administrative differences arising in relation to the implementation of this PR that cannot be settled privately between the gaining and losing Societies are to be solved under the IACS Procedures, Volume 3, Annex 4 "IACS Procedure for handling a complaint" "Complaints against QSCS Certificate Holders".

## Annex 1: Process Flow Chart for transfer of certification



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## **Annex 2: Link to Contact Points**

The contact details can now be found on TL-PR 18 Contact Details (for ISM & ISPS matters)

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**Annex 3: Transfer of Certification (Form TC)****SPECIFY TRANSFER OF CERTIFICATION:**DOC ☐SMC ☐ISSC ☐**COMMON PARTICULARS:**

Losing Society / Fax / e-mail \_\_\_\_\_

Gaining Society / Fax / e-mail \_\_\_\_\_

Company Name: \_\_\_\_\_ Name of Ship: \_\_\_\_\_

Company Address: \_\_\_\_\_ IMO Number: \_\_\_\_\_

\_\_\_\_\_ Company No: \_\_\_\_\_

**PROCEDURE:**

STEP 1	to be completed by the GAINING SOCIETY and sent to LOSING SOCIETY							
Relevant Information	DOC						SMC	ISSC
	1	2	3	4	5	6		
Flag								
Ship Type(s) (PS, PHS, CHC, BC, OT, CT, GC, MODU, OCS)								
Responsible Person								
Position								
Date completed and sent								

STEP 2	to be completed by the LOSING SOCIETY and sent to GAINING SOCIETY	
Attached documentation:		
Audit report		<input type="checkbox"/>
Copy of certificate		<input type="checkbox"/>
Details of agreed corrective action plan and time frame		<input type="checkbox"/>
Any other attachment, including outstanding verification to be completed by losing society (specify)		<input type="checkbox"/>
Responsible Person		
Position		
Date completed and sent		

STEP 3	to be completed by the GAINING SOCIETY and sent to LOSING SOCIETY	
Verification successful?	<input type="checkbox"/> Yes <input type="checkbox"/> No (attach audit report)	
Responsible Person		
Position		
Date completed and sent		

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# TL- PR 19 Procedural Requirement for Thickness Measurements

1. Thickness Measurements required in the context of hull structural classification surveys, if not carried out by TL itself shall be witnessed by a surveyor. The attendance of the surveyor shall be recorded.
2. This requires the surveyor to be on board, while the gaugings are taken, to the extent necessary to control the process (see Footnote).

## 2.1 Survey meeting

Prior to commencement of the Intermediate or Special survey, as required by TL- R Z7, R Z7.1, R Z7.2, R Z10s or R Z15, a meeting is to be held between the attending surveyor(s), the master of the ship or mobile offshore unit or an appropriately qualified representative appointed by the master or Company, the owner's representative(s) in attendance and the thickness measurement firm's representative(s) so as to ensure the safe and efficient execution of the surveys and thickness measurements to be carried out onboard.

Communication with the thickness measurement operator(s) and owner's representative(s) is to be agreed during the meeting, with respect to the following:

- reporting of thickness measurements on regular basis to the attending surveyor
- prompt notification to the surveyor in case of following findings:
  - excessive and/or extensive corrosion or pitting/grooving of any significance
  - structural defects like buckling, fractures and deformed structures
  - detached and/or holed structure
  - corrosion of welds.

When thickness measurements are taken in association with Intermediate or Special Survey, a documented record indicating where and when the meeting took place and who attended (the name of the surveyor(s), the master of the ship or mobile offshore unit or an appropriately qualified representative appointed by the master or Company, the owner's representative(s) and the representative(s) of the thickness measurement firm(s)) is to be maintained.

Footnote:

It is confirmed that this also applies to thickness measurements taken during voyages.

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Notes:

1. This Procedural Requirement applies from 1 January 2018.

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## **2.2 Monitoring of the thickness measurement process onboard**

The surveyor is to decide final extent and location of thickness measurements after overall survey of representative spaces onboard.

In case the owner prefers to commence the thickness measurements prior to the overall survey then the surveyor is to advise that the planned extent and locations of thickness measurements are subject to confirmation during the overall survey.

Based on findings, the surveyor may require that additional thickness measurements have to be taken.

The surveyor is to direct the gauging operation by selecting locations such that readings taken represent, on average, the condition of the structure for that area.

Thickness measurements taken mainly to evaluate the extent of corrosion, which may affect the hull girder strength, are to be carried out in a systematic manner of all longitudinal structural members that are required to be gauged by the relevant TL- R(s).

Where thickness measurements indicate substantial corrosion or wastage in excess of allowable diminution, the surveyor is to direct locations for additional thickness measurements in order to delineate areas of substantial corrosion and to identify structural members for repairs/renewals.

Thickness measurements of structures in areas where close-up surveys are required shall be carried out simultaneously with close-up surveys.

## **2.3 Review and verification**

Upon completion of the thickness measurements, the surveyor is to confirm that no further gaugings are needed, or specify additional gaugings.

If, where special consideration is allowed by TL- R(s), the extent of thickness measurements is reduced, the surveyor's special consideration is to be reported.

In case thickness measurements are partly carried out, the extent of remaining thickness measurements is to be reported for the use of the next surveyor.

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# TL-PR 20 Procedural Requirement for certain ESP Surveys

The objective of this PR is to improve the quality of surveys. This PR applies to surveys of hull structures and piping systems in way of cargo holds and/or cargo tanks, cofferdams, cargo pump rooms, pipe tunnels, void spaces, within the cargo length area and all ballast tanks. In the case of Bulk Carriers, selected fuel oil tanks within the cargo length area might be part of the areas to be surveyed according to the applicable provisions of the TL-R Z10.2 or TL-R Z10.5.

Taking into consideration, the size of vessels and scope of surveys for vessels noted below, it is more effective to have more than one surveyor examine the required spaces, holds or tanks and to provide mutual support and consultation during the surveys in recommending repairs and actions required for conditions of Class.

1. On ships 20,000 tonnes DWT and above, subject to ESP, starting with special survey No.3, at special and intermediate hull classification surveys, the survey of hull structure and piping systems to which this PR applies is to be carried out by at least two exclusive surveyors. On bulk carriers 100,000 dwt and above of single side skin construction at the intermediate hull classification survey between 10 and 15 years of age, the survey of hull structure and piping systems to which this PR applies is to be performed by at least two exclusive surveyors.
2. This requires that at least two exclusive surveyors attend on board at the same time to perform the required survey<sup>1)</sup>. Where compatible with relevant laws and regulations, on dual class vessels, the requirement for two surveyors may be fulfilled by having one surveyor attend from each Society.

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## Notes:

1. It is confirmed that this also applies to voyage surveys.
2. For definition of exclusive surveyors, refer to TL-PR 5.
3. This Procedural Requirement applies from 1 July 2020.

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3. Though each attending surveyor is not required to perform all aspects of the required survey, they are required to consult with each other and to do joint overall and close-up surveys to the extent necessary to determine the condition of the vessel areas to which this PR applies. The extent of these surveys should be sufficient for the surveyors to agree on actions required to complete the survey with respect to renewals, repairs, and other conditions of class. Each surveyor is required to co-sign the survey report or indicate their concurrence in an equivalent manner.
  4. The following surveys may be witnessed by a single Surveyor:
    - Thickness measurements in accordance with Procedural Requirement 19;
    - Tank testing in accordance with the applicable TL-R Z10;
    - Repairs carried out in association with Intermediate and Special Hull Classification Survey, the extent of which have been agreed upon by the required two surveyors during the course of the surveys.

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# TL- PR 23 Procedure for Reporting Cancellation of Approval of a Thickness Measurement Firm

## 1. Introduction

1.1 Firms engaged in thickness measurements on ships are subject to approval by TL in accordance with TL- R Z17.

## 2. Notification of cancellation of approval for cause

2.1 When the approval of a TM Firm has been cancelled by TL for any of the following reasons:

- a) service improperly carried out or the results improperly reported;
- b) appropriate corrective action not taken for deficiencies found in the service operation system within the time agreed by TL;
- c) the Society not being informed of alterations to the service operation system related to compliance with requirements for approval;
- d) wilful acts or omissions by the TM Firm related to compliance with requirements for maintaining approval.

TL is to send an email to the other participating Societies within 5 working days of such cancellation.

---

### Notes:

- 1. This Procedural Requirement applies from 1 November 2013.

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2.2 The e-mail is to be in the form set out below.

Notice of Cancellation of Thickness Measurement (TM) Firm Approval

Dear Madam/Sir,

This is to inform you that the approval of the following TM Firm has been cancelled on the date shown below:

**[TM Firm complete name as shown on Society's public website]**

**[TM Firm complete address: Street Address or Post Office Box; City, Province or State (where applicable), Country, Postal Code (if available)]**

due to **[insert text of reason from 2.1, above]**.

Approval cancelled by **[Society]** on **[DD/MM/YYYY]**.

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# TL-PR 24 Procedural Requirements for ISPS Code Certification

## Introduction

This document provides the Classification Societies with the methods and criteria for carrying out Ship Security Plan (SSP) approvals and for issuing International Ship Security Certificates (ISSCs) to ships following verification by audit that their security systems and any associated security equipment comply with the requirements of the ISPS Code and the provisions of the corresponding approved SSPs.

The Classification Societies may conduct approvals of SSPs or amendments thereto and verification of SSPs necessary for issuing an ISSC on behalf of Administrations. Certificates will comply with the format required by the Administrations.

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### Note:

1. This Procedural Requirement applies from 1 July 2019.

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## **1. Scope and Application**

1.1 This document establishes the procedures for:

- (i) review and approval of SSPs;
- (ii) verification of compliance with the requirements of the ISPS Code;
- (iii) issue of Interim, Initial, and Renewal ISSCs;
- (iv) intermediate verification;
- (v) additional verification;
- (vi) withdrawal of certification.

1.2 This Procedural Requirement (PR) is to be applied by Classification Societies when acting as RSOs on behalf of Administrations in the conduct of SSP approvals, audits and the issuance of certificates in accordance with the ISPS Code.

1.3 The scopes of the verifications carried out in accordance with this PR shall be restricted to the Requirements of SOLAS Chapter XI-2 and the ISPS Code Part A taking into account ISPS Code B/8.1 to B/13.8.

1.4 For minimum requirements relating to non-routine ISPS Code certification scenarios, please refer to Annex 1.

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## **2. Definitions**

- 2.1 “Auditor” means a person trained, qualified and authorized in accordance with TL Procedural Requirement 10 (TL-PR 10) to carry out SSP approval and audits.
- 2.2 “Convention” means the International Convention for the Safety of Life at Sea (SOLAS), 1974 as amended.
- 2.3 “ISPS Code” means the International Ship and Port Facility Security Code, (consisting of Part A and Part B), as adopted by the IMO.
- 2.4 “Ship Security Assessment” (SSA) is an activity carried out to identify possible threats to key shipboard operations and the likelihood of their occurrence and an evaluation of existing security measures and weaknesses in the infrastructure, policies and procedures.
- 2.5 “Ship Security Plan” (SSP) means a plan developed to ensure the application of measures on board the ship designed to protect persons on board, the cargo, cargo transport units, ship’s stores or the ship from the risks of a security incident.
- 2.6 “Security System” is the system in place on board the ship which implements the procedures, documentation and required records which are examined to verify compliance with the requirements of the ISPS Code.
- 2.7 “Security Equipment” is equipment used in the implementation of the security measures specified in the SSP.
- 2.8 “Company Security Officer” (CSO) means the person designated by the company for ensuring that a ship security assessment is carried out; that a ship security plan is developed, submitted for approval and thereafter implemented and maintained, and for liaison with the Port Facility Security Officer (PFSO) and the Ship Security Officer (SSO).
- 2.9 “Ship Security Officer” (SSO) means the person on board the ship, accountable to the master, designated by the Company as responsible for the security of the ship, including implementation and maintenance of the ship security plan and for the liaison with the CSO and the Port Facility Security Officer (PFSO).
- 2.10 “Security Incident” means any act or circumstance that threatens the security of a ship, a mobile offshore drilling unit, a high speed craft, a port facility, a ship/port interface or any ship to ship activity.
- 2.11 “Security Level” means the qualification of the degree of risk that a security incident will be attempted or will occur.
- 2.12 “Security Level 1” means the level for which minimum appropriate protective security measures shall be maintained at all times.
- 2.13 “Security Level 2” means the level for which appropriate additional protective security measures shall be maintained for a period of time as a result of heightened risk of a security incident.
- 2.14 “Security Level 3” means the level for which further specific protective security measures shall be maintained for a period of time when a security incident is probable or imminent, (although it may not be possible to identify the specific target).
- 2.15 “Regulation” means a regulation of the Convention.

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2.16 “Ship” when used in this Code, includes self propelled mobile offshore drilling units and high speed craft as defined in SOLAS Chapter XI-2/1.

2.17 “Failure” means the non-fulfilment of a specified requirement that does not compromise the ship’s ability to operate at security levels 1, 2 and 3. It may also be referred to as a Non-conformity.

2.18 “Major Failure” means the non-fulfilment of a specified requirement that compromises the ship's ability to operate at security levels 1, 2 or 3. It may also be referred to as a Major Non-conformity.

2.19 “Observation” means a statement of fact made during an audit and substantiated by objective evidence. It may also be a statement made by the auditor referring to the SSP which, if not corrected, may lead to a Failure in the future.

2.20 “Verification” is confirmation through the evaluation of objective evidence that specified requirements have been fulfilled. (See also 2.23)

2.21 “Recognised Security Organisation” (RSO) means an organisation authorised by a Contracting Government in accordance with SOLAS Chapter XI-2/1.16. When "Classification Society" is used in this PR, it is always intended as "Classification Society acting as RSO".

2.22 “Ship Security Alert System” (SSAS) means a system installed on board, either interfaced with another radio installation or self-contained (abbreviated to SSAS-SC in this PR), that complies with the functional requirements of SOLAS Chapter XI-2/6.2 to 6.4 and the performance criterion of IMO MSC.147(77).

2.23 “Audit” means a process of systematic and independent verification by obtaining objective evidence to determine whether the ship security related activities comply with the ISPS Code and the planned arrangements of the SSP and whether these arrangements are implemented effectively to achieve the objectives of the ISPS Code.

2.24 Any capitalized terms used in this PR which are not defined above have the meanings given them in the Convention.

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### **3. Criteria for Verification**

3.1 Criteria for verification of compliance with the requirements of the ISPS Code shall be in accordance with the applicable sections of the SOLAS Chapter XI-2 and the ISPS Code Part A.

3.2 A Classification Society performing verification of compliance with the requirements of the ISPS Code shall meet the requirements of MSC/Circ. 1074 Appendix 1, paragraphs 3 to 5.

3.3 If a Classification Society has been involved in either the conduct of the SSA or the development of the SSP or any amendments for a specific ship, that Classification Society shall not, due to potential conflict of interest, approve the SSP or conduct verifications for the certification of the ship.

3.4 A Classification Society that approves a SSP or issues an ISSC shall have implemented a documented system for the:

- a) qualification and continuous updating of the knowledge and competence of auditors who perform such approvals or verifications in compliance with TL-PR 10, and
- b) performance of the processes involved in accordance with this PR. This system shall, inter alia, include procedures and instructions for the following:
  - (i) the establishment of contract agreements with Companies in respect of their ships;
  - (ii) the scheduling and performance of SSP approvals and verifications;
  - (iii) the reporting of the results of SSP approvals and verifications;
  - (iv) the issue of interim and full term ISSC certificates.

3.5 Only auditors who are qualified as required by TL-PR 10 shall carry out approvals and verifications.

3.6 The entire SSP approval and implementation audit process shall verify:

- (i) that the SSP and any amendments are appropriate to the three security levels defined by the ISPS Code;
- (ii) that the SSP is compliant with the ISPS Code;
- (iii) that the SSP is being effectively implemented on board.

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#### **4. Obligations of the Company**

- 4.1 Where the verification of an SSP is to be carried out by a Classification Society that did not carry out the SSP approval, the Company shall provide, if requested by the Classification Society, a copy of the SSA report and the SSP prior to the audit on board.
- 4.2 The Company shall carry out internal audits and reviews of security activities at least once every twelve (12) months on board each ship.
- 4.3 The Company and the ship are to maintain records of external security verifications for a minimum period of five (5) years.
- 4.4 Any amendments made to the security system, the security equipment or the SSP and that are related to the requirements of ISPS Code A/9.4.1 to A/9.4.18, must be submitted to the Classification Society for review and approval.
- 4.5 At the initial installation of the SSAS, the Company shall arrange for an approved Radio Technician to test and issue a report on the equipment's compliance with the requirements of SOLAS Chapter XI-2/6.2 to 6.4. A SSAS-SC may be tested and reported on by the SSO.
- 4.6 Following the initial installation of the SSAS, the Company is responsible for:
- (i) testing and maintaining the SSAS to satisfy operational requirements according to the approved SSP; and
  - (ii) maintaining on board the SSAS records specified in ISPS Code A/10.1.10.

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## **5. Ship Security Plan Approval**

5.1 The Company is to prepare and submit to the Classification Society a SSP for each ship. This SSP is to be reviewed and approved on behalf of the Administration.

5.2 Unless otherwise specified by the Administration, all changes to an approved SSP related to the requirements of ISPS Code A/9.4.1 to A/9.4.18 shall be reviewed and approved before implementation by the Classification Society that approved the SSP. The SSP and the amendments are to be accompanied by the SSA from which they were developed.

5.3 The SSP shall be developed in accordance with the requirements of ISPS Code Part A taking into account ISPS Code B/8.1 to B/13.8, and shall be written in the working language, or working languages, of the ship. If the language, or languages, used is not English, French or Spanish, a translation into one of these languages shall be included. The Classification Society undertaking the approval shall consider at least the version of the SSP written in English, French or Spanish.

5.4 When reviewing and approving a SSP, the auditor shall verify that the Company has taken into account relevant security-related guidance and best management practices, including the latest IMO Circulars concerning piracy, hijacking and armed robbery.

5.5 When the Classification Society approves the SSP and any amendments it should retain, as a minimum, a copy of the letter of approval. The evidence of this approval shall be kept on board. Marking of SSPs, following first approval and approval of amendments, shall be handled in accordance with the Classification Societies internal procedures.

5.6 The Classification Society that approves an amendment to an SSP shall determine whether any additional verification is required relating to its implementation.

5.7 During the certification period, no Classification Society shall approve amendments to a SSP approved by another Classification Society or an Administration.

5.7bis If the ISPS certification is transferred in accordance with TL-PR 18 and if the gaining Society is requested to approve any amendments to the SSP by the management company, the gaining Society shall re-approve the entire SSP.

5.8 Evidence should be sought that the Company Security Officer (CSO) has received training in accordance with ISPS Code A/13.1. If evidence is not provided by the Company or if there is objective evidence that the CSO has not received such training, the auditor should inform the Company so that corrective actions can be taken.

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## **6. Audit of Ships**

6.1 Audits for the issue or renewal of ISSCs shall consist of the following steps:

- (i) verification that an approved SSP is on board;
- (ii) verification through a representative sample that the security system is being implemented effectively;
- (iii) verification that all security equipment specified in the SSP complies with applicable requirements;
- (iv) verification that all security equipment specified in the SSP, including the ship security alert system (SSAS), is operational.

6.2 Initial, Intermediate and Renewal audits shall be performed only under normal operating conditions and when the ship is fully manned in accordance with the Safe Manning Certificate.

6.3 The auditor shall verify the effective implementation of the approved SSP and its documented procedures based on objective evidence obtained by interviews, inspections, review of documents and examination of records.

6.4 Following the initial installation of the SSAS, the Classification Society may approve the related provisions in the SSP and verify, by audit and the witnessing of a complete security alert test, the effective implementation of those provisions. Confirmation that the SSAS complies with the requirements of paragraphs 2 to 4 of SOLAS Chapter XI-2 will be found in the Radio Technician's report (or the SSO's report, in the case of a SSAS-SC).

6.5 At each subsequent scheduled audit the auditor shall examine the records of the testing of the SSAS, identify the SSAS activation points and verify the effective implementation of the procedures, instructions and guidance relating to the SSAS as specified in ISPS Code A/9.4.18.

6.6 Intermediate and renewal audits shall include a review of Failures reported following previous audits. The auditor shall select a sample of the reported Failures and verify that the company is investigating, analyzing and resolving them effectively and in a timely manner.

6.7 The auditor has the authority to ask for information from any other Classification Society or, if relevant the Administration, in order to check the accuracy of the information provided by the Company.

6.8 Where the audit of a ship is to be carried out by a Classification Society that did not carry out the SSP approval, the Classification Society may review the SSP either at, or prior to, the audit on board.

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## **7. Failures and Corrective Action Follow-up**

7.1 Audit findings shall be reviewed by the auditor(s) in order to determine whether they should be reported as Major Failures, Failures or Observations.

7.2 At the end of the Audit, the auditor(s) shall hold a meeting with the senior management of the ship and those responsible for the functions concerned. The purpose is to present Major Failures, Failures and Observations to the ship's management in such a manner that they are clearly understood.

7.3 Failures shall be raised against the corresponding requirement of the ISPS Code, the relevant sections or paragraphs of the SSP and any specific flag State requirements.

7.4 An ISSC is not to be issued or renewed if a Major Failure exists. Immediate action is required to restore compliance. The auditor shall verify the implementation of these measures before the ship sails and a schedule for the implementation of actions to prevent recurrence shall be agreed between the Company and the auditor. At least one additional audit shall be carried out within the period agreed for the verification of implementation of the actions to prevent recurrence.

7.5 An ISSC shall not be issued or renewed until compliance has been restored for all identified Failures. In addition a schedule for the implementation of action to prevent recurrence may be agreed between the Company and the auditor. Additional audits may be carried out as necessary.

7.6 An ISSC shall not to be endorsed if a Major Failure exists. Immediate action is required to restore compliance, thereby permitting the Major Failure to be down-graded. The auditor shall verify the implementation of these measures before the ship sails and a schedule for the implementation of actions to prevent recurrence shall be agreed between the Company and the auditor. At least one additional audit shall be carried out within the period agreed for the verification of implementation of the actions to prevent recurrence.

7.7 An ISSC may be endorsed following identification of a Failure, provided that compliance has been restored, or a schedule has been agreed between the Company and the auditor for the completion of corrective action to restore compliance and to prevent recurrence. Additional audits may be carried out as necessary.

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## **8. Issuance and Endorsement of the International Ship Security Certificate (ISSC)**

8.1 The ISSC shall be issued after an Initial or Renewal audit in accordance with 6.1.

8.2 The “type of ship” to be entered on the ISSC shall be selected from those defined in SOLAS Chapter XI-2/1.

8.3 The ISSC shall be endorsed at the Intermediate audit and at any additional audit required by the Administration.

8.4 On completion of the audit, an ISSC with validity not exceeding five (5) years may be issued by the auditor. A certificate of shorter validity may be issued in accordance with Classification Society procedures and flag State requirements. When the renewal audit is completed within three months before the expiry of the existing certificate, the new certificate shall be valid until a date not exceeding five years of the expiry date of the existing certificate.

8.5 If validity of the ISSC is extended in accordance with ISPS Code A/19.3.5, documentary evidence of Administration approval must be sighted by the Classification Society.

8.6 At the request of the Company, the expiry date of ISSC may be aligned with the expiry date on the Safety Management Certificate (SMC) provided that this does not exceed the five (5) year period specified in ISPS Code A/19.3.

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## **9. Opening and Closing Meetings**

9.1 Shipboard verification audits shall start with an opening meeting, the purpose of which is to:

- (i) introduce the auditor to the ships management;
- (ii) explain the scope and purpose of the audit;
- (iii) provide a short summary of the methods and procedures to be used;
- (iv) establish the official communication line between the auditor and the shipboard management;
- (v) confirm that the necessary resources, documentation and facilities are available;
- (vi) confirm the time and date of the closing meeting and any interim meetings.

9.2 On completion of each audit, the auditor shall hold a closing meeting with the shipboard management, as appropriate, to present the findings so that they are fully understood.

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## **10. Reporting Plan Approvals and Shipboard Audits**

10.1 A report is to be produced after every SSP approval and audit.

10.2 In the case of a SSP approval, the Letter of Approval shall include the following wording: "In the development of the Ship Security Plan, in accordance with ISPS Code A/9.4, the provisions of ISPS Code B/8.1 to B/13.8 have been duly taken into account and applied as appropriate for the ship".

10.3 The Letter of Approval shall be given to the company and retained on board the ship, together with a copy of the audit report.

10.4 In the case of an audit, the report must include the following:

- (i) the date and time of completion of the audit;
- (ii) the status of the implementation of the SSP;
- (iii) confirmation of the operational status of all security equipment and systems on board;
- (iv) reports of any Failures found during the audit.

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## **11. Responsibilities Pertaining to Audits**

### **11.1 Responsibilities of the Classification Society.**

11.1.1 The Classification Society is responsible for performing the audit and certification process in accordance with this PR and relevant flag State requirements.

### **11.2 Responsibilities of the Auditor.**

11.2.1 The auditor is responsible for:

- (i) carrying out the audit effectively and efficiently;
- (ii) complying with the applicable procedural and regulatory requirements;
- (iii) noting in the report any obstacles to the effective conduct of the audit;
- (iv) organizing any special technical assistance required to verify compliance;
- (v) reporting the audit results clearly, concisely and without undue delay.

11.2.2 Auditors shall treat all the information to which they have access during the course of SSP approvals and shipboard verification audits in the strictest confidence.

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## **12. Withdrawal of Certification**

12.1 An interim ISSC shall not be issued to a ship from which a full-term ISSC has been withdrawn.

12.2 When an ISSC has been withdrawn, a new certificate may be issued only after the successful completion of an audit of scope equivalent to an initial audit.

12.3 The new certificate shall have the same expiry date as the certificate that was withdrawn.

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### **13. Actions Following Port State Control Detentions**

13.1 When a ship is detained and deficiencies relating to the ISPS Code are given as reasons for the detention, the Classification Society that issued the ISSC shall carry out an additional audit.

13.2 Any Failures shall be dealt with in accordance with the relevant requirements of paragraph 7 above.

13.3 If the auditor disagrees with the conclusions of the Duly Authorised Officer, the reasons for the disagreement shall be documented in the audit report. The Duly Authorised Officer, the Company and the Administration must be made aware of the auditor's comments in this respect.

## Annex 1

### ISPS CODE CERTIFICATION SCENARIOS – MINIMUM REQUIREMENTS

	Scenario	Condition	Action required	Ship Security Plan	Scope of Audit and Certification
1	Change of ship's name	Conducted by a surveyor or an auditor	Verification on board	1. Verify correct ship's name on the title page, index page and revision page of SSP. 2. Amend SSP Approval Letter with the ship's new name.	1. Verify correct ship's name on all Certificates and Documents. 2. Verify that SSAS has been reprogrammed with the ship's new name. 3. Amend/reissue ISSC with the ship's new name. <i>Note: ISSC must be amended by issuing organization or by special arrangement<sup>1</sup>. Replacement ISSC shall have the same expiry date as the current ISSC.</i>
2	Change of flag	Conducted by an auditor	Interim audit on board	1. Check that the SSP is on board. 2. Check that SSP addresses ISPS Code A/9.4.1 to A/9.4.18. 3. Check that a copy of the SSP has been submitted to the Administration or its organization for approval.	1. Interim verification as required by ISPS Code A/19.4.2. 2. Issue Interim ISSC.
		1. SSP has already been approved for the new flag 2. Conducted by an auditor	Additional audit on board		1. Verify compliance with the requirements of the SSP and reprogramming of SSAS. 2. Issue a replacement ISSC with same expiry date as the current ISSC.
3	Change in IMO ship type	Conducted by an auditor	Interim audit on board	Verify amendments to SSP, if any, have been submitted for approval	1. Interim verification as required by ISPS Code A/19.4.2. 2. Issue Interim ISSC with new ship type.
4	Takeover of certification from an organization not holding a QSCS certificate	Conducted by an auditor	Initial audit on board		1. Audit to address all elements of ISPS Code. 2. Issue ISSC.
5	Ship out of service between 3 and 6 months <sup>2</sup>	Conducted by an auditor	Additional audit if required by the Administration		Endorse ISSC as appropriate.
6	Ship out of service more than 6 months <sup>2</sup>	Conducted by an auditor	Interim audit on board		1. Interim verification as required by ISPS Code A/19.4.2. 2. Issue Interim ISSC.
7	Intermediate audits requested after the end of the audit time window	Conducted by an auditor	Intermediate audit on board		1. If reinstated, ISSC to be endorsed with a statement (e.g. Validity reinstated with scope as initial). If re-issued, ISSC to have same expiry date as previous certificate. 2. Issue TL-PR 17 report if ISM audit is not held at the same time.

	Scenario	Condition	Action required	Ship Security Plan	Scope of Audit and Certification
8	Change of Company name and/or address		Attendance on board not required	1. Approve SSP amendments to reflect new Company name and address. 2. Reissue approval letter.	1. Verify DOC has been reissued with new Company name and address. 2. Issue replacement ISSC with same expiry date as previous ISSC.

Note: Above scenarios may be subject to flag State requirements and should only be applied in the absence of any instructions from the Administration.

<sup>1</sup> The organization may with permission from the Administration authorize a surveyor from the vessel's Classification Society, if other than the ISPS organization, to amend the documentation.

<sup>2</sup> These instructions do not apply to ships for which seasonal lay-ups are a normal part of their operational routine – refer to MSC-MEPC./7 Circ.9.

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## **Annex 2**

### **APPLICATION OF THE ISPS CODE TO FPSOs AND FSUs**

See MSC-MEPC.2/Circ.9 of 25 May 2010 “Guidance for the application of safety, security and environmental protection provisions to FPSOs and FSUs”.

## NOTIFICATION OF INVALIDATION OF ISPS CERTIFICATION (ISSC)

Ship's Name:		IMO No.	
Company Name and Address:		Certificate No.	
		Issued by:	
The audit was conducted on behalf of the government of:			
Type of audit:	Intermediate <input type="checkbox"/>	Additional <input type="checkbox"/>	Renewal <input type="checkbox"/>
(Tick as appropriate)			
REASON FOR INVALIDATION OF CERTIFICATION (specify):          			
Name:	Position:	Society:	Date:

Distribution:

- Copy to Company
- Copy to Administration
- Copy to Port State Authority (if appropriate)
- Copy to Classification Society

## **Definition of date of “contract for construction”**

1. The date of “contract for construction” of a vessel is the date on which the contract to build the vessel is signed between the prospective owner and the shipbuilder. This date and the construction numbers (i.e. hull numbers) of all the vessels included in the contract are to be declared to TL by the party applying for the assignment of class to a newbuilding.
2. The date of “contract for construction” of a series of vessels, including specified optional vessels for which the option is ultimately exercised, is the date on which the contract to build the series is signed between the prospective owner and the shipbuilder.

For the purpose of this Procedural Requirement, vessels built under a single contract for construction are considered a “series of vessels” if they are built to the same approved plans for classification purposes. However, vessels within a series may have design alterations from the original design provided:

- (1) such alterations do not affect matters related to classification, or
- (2) If the alterations are subject to classification requirements, these alterations are to comply with the classification requirements in effect on the date on which the alterations are contracted between the prospective owner and the shipbuilder or, in the absence of the alteration contract, comply with the classification requirements in effect on the date on which the alterations are submitted to TL for approval.

The optional vessels will be considered part of the same series of vessels if the option is exercised not later than 1 year after the contract to build the series was signed.

3. If a contract for construction is later amended to include additional vessels or additional options, the date of “contract for construction” for such vessels is the date on which the amendment to the contract, is signed between the prospective owner and the shipbuilder. The amendment to the contract is to be considered as a “new contract” to which 1 and 2 above apply.
4. If a contract for construction is amended to change the ship type, the date of “contract for construction” of this modified vessel, or vessels, is the date on which revised contract or new contract is signed between the Owner, or Owners, and the shipbuilder.

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Note:

This Procedural Requirement applies from 1 July 2009.

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# TL-PR 35 Procedure for Imposing and Clearing Conditions of Class

## 1. Purpose

The purpose of this Procedural Requirement is to set unified procedures for imposing, clearing and controlling Conditions of Class which Classification Societies are to follow.

## 2. Definition

'Conditions of Class' mean requirements to the effect that specific measures, repairs, surveys etc. are to be carried out within a specific time limit in order to retain Classification.

## 3. Procedures for Members to follow for imposing, clearing and controlling Conditions of Class

3.1 Conditions of Class shall be imposed for the following:

- a. Repairs and/or renewals related to damages that affect Classification (e.g. grounding, structural damages, machinery damages, wastage over the allowable limits, etc.)
- b. Supplementary survey requirements
- c. Temporary repairs

3.2 For repairs not completed at the time of survey, a Condition of Class is to be imposed. In order to provide adequate information to the surveyor attending for survey of the repairs, the Condition of Class is to be sufficiently detailed with identification of items to be repaired. For identification of extensive repairs, reference may be given to the survey report.

3.3 Conditions of Class may require imposing limitations related to navigation and operation that are deemed necessary for continued operation under Classification (e.g. loss of anchor and/or chain, etc).

3.4 Conditions of Class shall be given in writing with a time limit for completion to the owner's representatives/Ship's Master, and are to be clearly stated on the Certificate of Class or an attachment to the Certificate of Class and/or class survey status or report.

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Note:

1. This Procedural Requirement applies from 1 July 2020.

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3.5 Owners will be notified of these dates and that the vessel's class will be subject to a suspension procedure if the item is not dealt with, or postponed, by the due date. (Ref. PR1C, A2)

3.6 Clearance of Conditions of Class shall be supported by a survey report giving details of all associated repairs and/or renewals, or of the supplemental surveys carried out. Repairs carried out shall be reported with identification of:

- Compartment and location
- Structural member
- Repair method
- Repair extent
- NDT/Tests

3.7 Partially dealt with Conditions of Class shall be supported by a survey report giving details of repairs and/or renewals, or of that part of the supplemental surveys carried out and those parts remaining outstanding.

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# TL-PR 36 Transfer of Maritime Labour Convention, 2006 Certification

## Application

This Procedural Requirement contains procedures and requirements pertaining to the transfer of Maritime Labour Convention, 2006 (MLC) certification when a request is received from a shipowner for such transfer from one Classification Society (the losing Society) to another Classification Society (the gaining Society), and is applicable irrespective whether the certification is mandatory or voluntary.

The obligations of this Procedural Requirement apply to Classification Societies which are subject to verification of compliance with QSCS.

This PR is applicable to all cases of transfer of MLC certification between Classification Societies, except as noted in section 2.0 below.

Annex 1	Process Flow Chart for transfer of certification
Annex 2	Link to Contact Points
Annex 3	Transfer of Certification (Form TC MLC)
Annex 4	Notification of Invalidation of Maritime Labour Certificate

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### Note:

1. This Procedural Requirement applies to requests for transfers of MLC certification received from 20 August 2013.

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## **1.0 Definitions**

1.1 “Gaining Society (GS)” means a Society that receives a request for a transfer of MLC certification for a ship.

1.2 “Losing Society (LS)” means a Society from which MLC certification is being transferred.

## **2.0 General**

2.1 This procedure shall not apply in the following cases:

2.1.1 Where there is a change of shipowner.

2.1.2 Where the certificate that is to be the subject of the transfer is an Interim certificate.

## **3.0 Gaining Society’s Obligations and Reporting**

3.1 On receiving a request from a shipowner to take over its MLC certification from another Society, the GS must inform the shipowner, in writing, that an application for such certification can only be accepted by the GS after it has received confirmation (with supporting documentation) that:

- (i) The existing certificate has not been withdrawn or otherwise invalidated by the LS or the Flag;
- (ii) All inspections initiated by the LS have been satisfactorily completed by the LS, unless otherwise agreed between the gaining and losing Societies; and
- (iii) Any serious deficiencies have been closed out or downgraded by the LS.

3.2 Where a written request for transfer of certification has been received from the shipowner, the GS shall notify the LS of the shipowner’s request by using Step 1 of Form TC MLC.

3.3 If evidence of the certification status listed in Step 2 of Form TC MLC is not received from the LS within three (3) working days from notification, the GS may utilize the evidence and certification information provided by the shipowner. In such cases, the shipowner shall be reminded that the conditions of 3.1 are still applicable when the GS requests this information from the shipowner.

3.4 If the DMLC Part II was reviewed and certified previously by the LS, the GS shall re-review the DMLC Part II before the onboard inspection, mentioned in item 3.5 below. If the DMLC Part II was reviewed by the flag Administration, the GS will act in accordance with flag Administration’s instructions relative to approval of the DMLC Part II.

3.5 An inspection is required for the issue of a new certificate.

3.6 The inspection by the GS shall address all required elements of the MLC, to the extent that the Society is authorized by the Administration, any flag Administration requirements and any matters arising out of the last inspection carried out by the LS. Where the transfer of

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certification occurs within the intermediate or renewal due date window, the corresponding inspection may serve as the inspection required in 3.5.

3.7 If the inspection is successful and a new certificate is issued by the GS, the GS must inform the LS, within one (1) month of the date of issue, by completing Step 3 of the Form TC MLC.

3.8 When the inspection is not successful and, as a result, the transfer of certification is not accepted, the GS shall inform the LS, within two (2) working days of the date of the inspection, by completing Step 3 of the Form TC MLC and attaching the inspection report in which the reason for the rejection should be fully explained.

#### **4.0 Losing Society's Obligations and Reporting**

4.1 The LS shall co-operate by providing the information specified in Step 2 of the Form TC MLC within three (3) working days of the receipt of the completed Step 1. The documentation to be attached to the form by the LS includes:

- (i) The last Maritime Labour Certificate issued;
- (ii) The last inspection report, including any deficiencies identified, the corrective action plan and the time period(s) proposed for implementation;
- (iii) Any other information that may be relevant to the decision to accept or reject the transfer of certification.

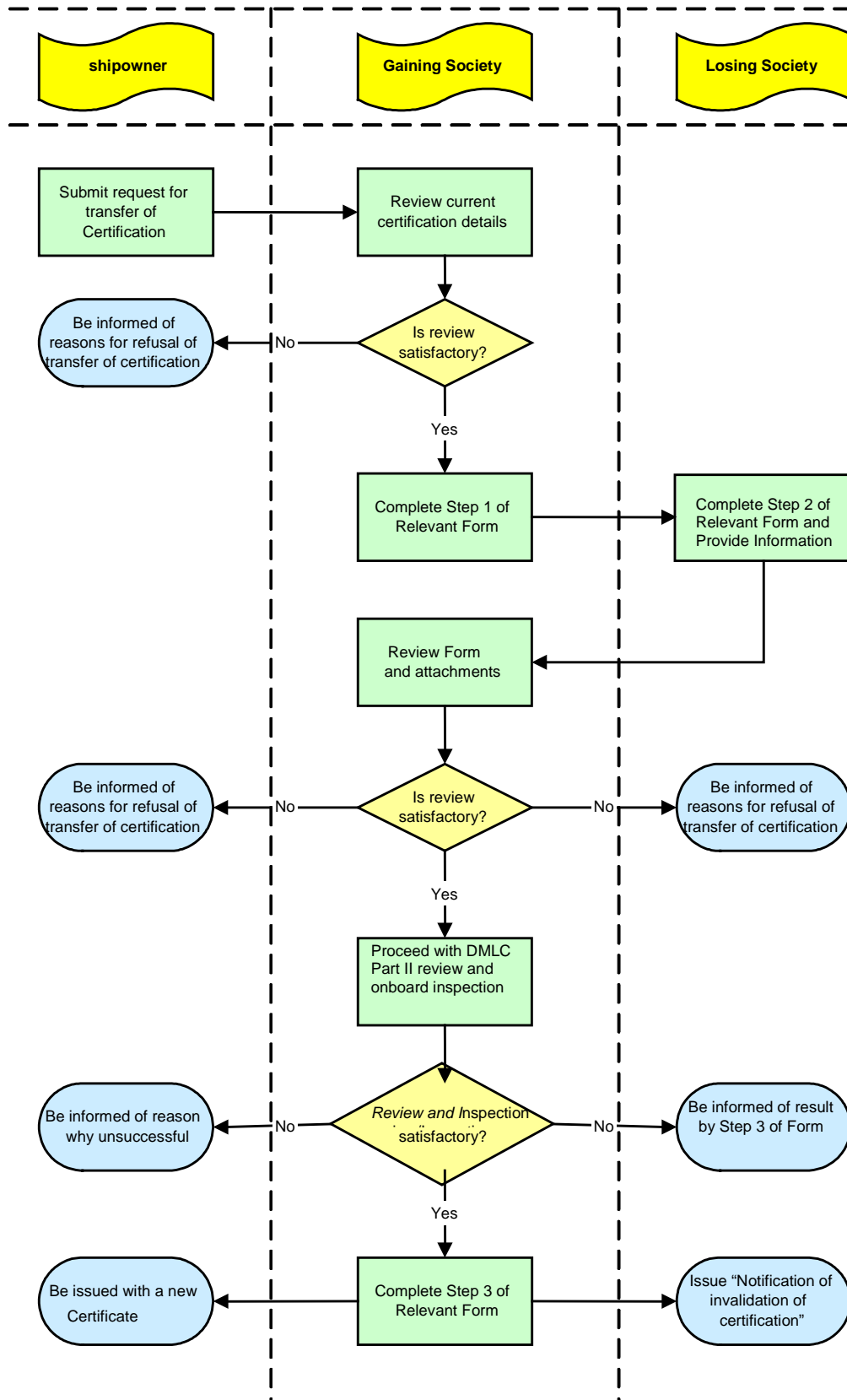
4.2 Upon receipt of information that a new certificate has been issued by the GS, the LS shall issue a "Notification of Invalidation of Certification" in accordance with the Annex 4, as applicable, ensuring that the GS is notified.

4.3 Upon receipt of information that the inspection is not successful because of an unresolved serious deficiency raised by the GS, the LS shall review the deficiency and take action as appropriate.

#### **5.0 Other Requirements**

Any administrative differences arising in relation to the implementation of this PR that cannot be settled bilaterally between the gaining and losing Societies are to be brought to the attention of the Permanent Secretariat for final resolution under the IACS Procedures Volume 3 Annex 4 "IACS Procedure for handling a complaint".

## Annex 1: Process Flow Chart for transfer of certification



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## **Annex 2: Link to Contact Points**

The contact details can be found on TL-PR 36 Contact Details (for MLC matters).

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### Annex 3: Transfer of MLC Certification (Form TC MLC)

#### COMMON PARTICULARS:

Losing Society e-mail \_\_\_\_\_

Gaining Society e-mail \_\_\_\_\_

Shipowner Name: \_\_\_\_\_ Name of Ship: \_\_\_\_\_

Shipowner Address: \_\_\_\_\_ Ship IMO Number: \_\_\_\_\_

#### PROCEDURE:

Step 1	To be completed by the GAINING SOCIETY and sent to the LOSING SOCIETY
Flag	
Ship type (PS, PHS, CHC, BC, OT, CT, GC, MODU, OCS)	
Responsible Person	
Position	
Date completed and sent	

Step 2	To be completed by the LOSING SOCIETY and sent to the GAINING SOCIETY
Attached documentation	
Last inspection report	<input type="checkbox"/>
Copy of Maritime Labour Certificate	<input type="checkbox"/>
Details of agreed corrective action plan and time frame	<input type="checkbox"/>
Any other information including any outstanding inspection to be completed by losing society (specify)	<input type="checkbox"/>
Responsible Person	
Position	
Date completed and sent	

Step 3	To be completed by the GAINING SOCIETY and sent to the LOSING SOCIETY
Inspection successful?	<input type="checkbox"/> Yes <input type="checkbox"/> No (attach inspection report)
Responsible Person	
Position	
Date completed and sent	

Ship's Name:	IMO No.	
Shipowner's Name and Address:	Certificate No.  Issued on behalf of:	
REASON FOR INVALIDATION OF CERTIFICATE (specify):		
Name:	Position:	Society:
Date:	Signature:	

Distribution:

- Copy to Shipowner  
Copy to Administration  
Copy to Port State Authority (if appropriate)  
Copy to Gaining society (in the case of a transfer of certification)

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# Procedural Requirement for Confined Space Safe Entry

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## Note:

- 1. This Procedural Requirement applies from 1 January 2024.

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## **1 Objective**

This procedural requirement contains the minimum requirements that Societies shall prescribe to help keep surveyors safe when conducting confined space entry.

Societies are free to take measures beyond those required in this document but shall as a minimum prescribe the requirements contained in this document and that they meet any relevant occupational safety and health legislative requirements in place at locations where work is conducted.

TL-G 72, and IMO Res. A.1050(27) can be referred to for further guidance on confined space safe entry practice.

When in any doubt about the safety associated with the confined space, the attending surveyor has the right to refuse entry.

## **2 Definitions**

### **2.1 Confined Space**

Confined Space means a space that has any of the following characteristics:

- Limited openings for entry and exit
- Unfavourable natural ventilation
- Not intended for continuous worker occupancy

It may include, but is not limited to: boilers, pressure vessels, cargo spaces (cargo holds, or cargo tanks), enclosed cargo space access trunks, ballast tanks, double bottoms, double hull spaces, fuel oil tanks, lube oil tanks, sewage-tanks, pump-rooms, compressor rooms, cofferdams, void spaces, duct keels, inter-barrier spaces, engine crankcases, excavations and pits.

### **2.2 Confined Space Entry (CSE)**

Confined Space Entry is the process of entering, working in and exiting a confined space.

### **2.3 Competent Person**

Competent person means a person with sufficient theoretical knowledge and practical experience to make an informed assessment of the likelihood of oxygen deficient/enriched or a dangerous atmosphere being present or subsequently arising in the space. Competent person must be trained and qualified in the hazards of Confined Spaces and in use of atmospheric monitoring devices. The Competent Person role may be performed by a Marine Chemist.

### **2.4 Responsible Person**

Responsible Person means a person authorised to permit entry to a confined space and having sufficient knowledge of the procedure to be followed and other activities that are being undertaken that could impact on the safety of those in a confined space.

### **2.5 Attendant**

Attendant is a person who is suitably trained and responsible for maintaining a watch over those entering the confined space, for maintaining communications with those inside the space and for initiating the emergency procedures in the event of an incident occurring.

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## **2.6 Marine Chemist**

A Marine Chemist is a person holding a valid and suitably recognised qualification as a marine chemist or equivalent.

## **2.7 Adjacent Space & Connected Space**

**2.7.1 Adjacent space** means a space that shares a common boundary with a compartment that contains a hazardous atmosphere. Such a space has no opening or connections into the hazardous compartment whatsoever and is a contiguous barrier. Such a space may only contain a hazardous atmosphere in the event of the failure of that barrier.

**2.7.2 Connected space** means a space that is connected, by either permanent or intermittent means to a source space that may contain a hazardous atmosphere. A space separated by a door shall be considered 'connected' as it is impossible to tell from outside the space whether it is open or not. A connected space shall be seen as containing a hazardous atmosphere until testing proves otherwise as that atmosphere could be trapped.

## **2.8 Hazardous Atmosphere:**

A hazardous atmosphere in a confined spaces is an environment that may expose personnel to the risk of death, incapacitation, injury, acute illness, toxicity or an inability to self-rescue. This type of atmosphere can arise due to all or any combination of following conditions:

- Lack of natural air movement
- Oxygen-deficient environment
- Flammable environment including oxygen enrichment
- Toxic environment, and/or
- Any other hazardous atmospheric condition.

## **2.9 Surveyor**

For the purpose of this Procedural Requirement a surveyor is any person employed by the classification society conducting activities within a confined space on behalf of this classification society.

## **2.10 Permit to Enter/Permit to Work**

A Permit to Enter or Permit to Work is a documented authorisation that has been signed and dated, including time of issue by the Responsible Person, which states that the space has been tested by a Competent Person and that the space is safe for entry; what precautions, equipment etc. are required, validity of the permit, and what works are to be done. The validity of the permit is not to exceed 8 hours.

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### **3 Requirements**

The requirements are categorised in three groups.

#### **3.1 Training**

3.1.1 All surveyors who are expected to enter and work in confined spaces shall be trained in Occupational Safety and Health requirements for such activities. This training shall include:

3.1.1.1 Recognising a confined space

3.1.1.2 Role of the Competent Person, Responsible Person, Attendant and Marine Chemist

3.1.1.3 How to recognise the hazards and manage the risks associated with Confined Space Entries

3.1.1.4 Permit to Work (PTW) systems/control procedures at the workplace

3.1.1.5 Requirements for atmosphere testing and the interpretation of their results

3.1.1.6 Use of personal multi gas meters

3.1.1.7 Access, exit and safe working requirements

3.1.1.8 Emergency arrangements

3.1.2 Competency in the areas covered by the training identified in 3.1.1 shall be periodically assessed, either as part of activity monitoring or some other suitable means. The maximum period between these assessments of competency is 3 years. Appropriate refresher training shall be provided as determined necessary from the competency assessment. The delivery mechanism for this refresher training is for the individual societies to determine.

#### **3.2 Confined Space Entry Procedures**

Societies shall have documented procedures that cover the following points:

3.2.1 Include in their procedures the minimum requirements for Surveyor's entry into a confined space, as follows:

3.2.1.1 Safe entry procedures (such as entry permit, "safe for workers" certificate, "safe for hot work" certificate, etc.) are in place, current and are being followed.

3.2.1.2 The Responsible and Competent Persons are identified.

3.2.1.3 The access and exit arrangements (including Permanent Means of Access) to and within the confined space are considered safe. Where available, multiple entry and exit ways shall be opened.

3.2.1.4 Communications arrangements are adequate

3.2.1.5 The confined space is adequately clean to allow safe working

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- 3.2.1.6 The confined space lighting is adequate for entry/exit and to allow safe working in a confined space.
  - 3.2.1.7 The atmosphere has been demonstrated as being safe (Safe limits for entry are atmospheric oxygen the range of 20.6% to 22% by volume<sup>1</sup>, combustible gases not more than 1% of lower flammable limit, toxic vapours and gases not more than 50% of the occupational exposure limits).
  - 3.2.1.8 Adequate ventilation arrangements are in place and functioning throughout the period the surveyors are inside the confined space.
  - 3.2.1.9 Isolation of the confined space, as applicable, from other tanks, cargo spaces, pipes, etc. and of machinery in the space, is confirmed.
  - 3.2.1.10 Extreme temperature effects are adequately considered.
  - 3.2.1.11 Electrical equipment in the confined space is suitable and in acceptable condition.
  - 3.2.1.12 A dedicated Attendant is provided by the vessel's management or the management of the facility where the surveyor's activities are carried out for the complete duration of the time spent working in the confined space and the Attendant has suitable means of initiating emergency response.
  - 3.2.1.13 Adequate emergency response arrangements are in place and ensure that appropriate rescue equipment is made available at the entrance of the confined space. Understanding that rescue in a confined space can be time critical, if a confined space is such that rescue will be extremely difficult using available equipment, surveyors shall refuse entry until the risk can be mitigated to an acceptable level.
  - 3.2.2 No surveyor shall be the first to enter a confined space, and they shall be accompanied at all times where the size of the space permits.
  - 3.2.3 Surveyors shall not enter the confined space if they are required to wear breathing apparatus.
  - 3.2.4 Surveyors shall not enter the confined space if the surrounding noise can adversely impact effective communication.
  - 3.2.5 Surveyors shall not enter a confined space if other work, such as welding, blasting is being carried out.
  - 3.2.6 Surveyors shall not enter cargo spaces that have cargoes that are oxygen depleting, self heating, or emitting toxic gases.
  - 3.2.7 Surveyors shall not enter compartments that have been fumigated, or adjacent / connected compartments to those that have been fumigated, unless certified gas free by a marine chemist.
  - 3.2.8 Special attention needs to be given to tanks that carry ballast water which has been treated with chemicals.
  - 3.2.9 On ships fitted with ballast water treatment system using ozone generators, surveyors shall ensure following prior entry into ballast tanks:

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- Ozone levels inside the tank must be checked (not to exceed 0.1 ppm (0.2 mg/m<sup>3</sup>)).
  - Confirm that the amount of residual water inside the ballast tank is no more than the normal stripping level.

Surveys of tanks by means of rafts or boats on such ships shall be permitted if an exchange of ballast water has been carried out and the ballast tank contains untreated water only.

3.2.10 Surveyors shall not enter the confined space if hazardous atmosphere is present or suspected in an adjacent space, and/or connected space, until the following is carried out:

3.2.10.1 A risk assessment is completed by the vessel's Management Company and the risk is mitigated.

3.2.10.2 All identified controls are confirmed in place prior to confined space entry.

3.2.10.3 The atmosphere in space connected to the space being entered, if any, is checked and deemed to be safe.

3.2.11 Surveyors shall not be part of a rescue team.

3.2.12 Surveyors shall immediately leave a confined space, by the nearest safe exit, if any alarms sound, or any physical impairment or distress is experienced by the surveyor.

3.2.13 Surveyors shall keep in mind and check the structural integrity of access and exit arrangements (including Permanent Means of Access) inside confined spaces, especially in ballast tanks and cargo holds. The surveyor shall refuse entry into any spaces with suspect/deficient access ladders etc. until the structural integrity has been found satisfactory.

3.2.14 The vessel's management or the management of the facility shall have established procedures for confined space entry.

3.2.15 If any of minimum requirements addressed in 3.2.1 through 3.2.14 are not complied with or in any other situation where the surveyor has a valid concern over the safety of the confined space, he/she shall refuse entry into the confined space.

3.2.16 The points addressed in 3.2.1 through 3.2.14 above shall be considered as part of survey planning and reviewed as changes occur during any Confined Space Entry.

### **3.3 Equipment for Surveyors Entering a Confined Space**

3.3.1 The following minimum set of Personal Protective Equipment shall be made available by the society to surveyors for conducting a Confined Space Entry:

3.3.1.1 Protective clothing

3.3.1.2 Safety shoes/boots

3.3.1.3 Hard hat

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- 3.3.1.4 Work gloves
  - 3.3.1.5 Protective glasses and/or goggles
  - 3.3.1.6 Ear defenders and/or ear plugs
  - 3.3.1.7 An individual multi gas meter<sup>1</sup>, in good working order, serviced and calibrated as per the manufacturer's instructions.
  - 3.3.1.8 A flashlight, appropriate to the nature of the confined space to be entered, and in good working order.
  - 3.3.2 The surveyors must always use the necessary personal protective equipment according to the specific conditions and the survey being carried out.

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<sup>1</sup> Referring to ISO 19891-1:2017(en) "Ships and marine technology — Specifications for gas detectors intended for use on board ships — Part 1: Portable gas detectors for atmosphere testing of enclosed spaces".

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# TL-PR 39 Procedure for Fleet Quality Monitoring

## 1 Objective

This procedure establishes the procedural requirements for the identification and follow-up of vessels not being satisfactorily maintained between surveys due to lack of maintenance on hull structure, main and essential auxiliary machinery, load-line items, safety equipment, oil pollution prevention equipment, etc.

The obligations of this Procedure apply to Classification Societies which are subject to verification of compliance with QSCS.

## 2 Principles for Establishing Fleet Monitoring

2.1 The Classification Society (CS) shall have a documented process which describes its methodology to identify or “target” vessels with the objective of maintaining and improving the quality of its fleet.

2.2 The method adopted shall apply to all classed vessels within the CS’ fleet. CS’ fleet is defined as those existing ocean going self-propelled vessels above 100 GT, excluding fishing vessels, military vessels, pleasure crafts and other government ships operated for non-commercial purposes.

2.3 The CS shall define the criteria against which each vessel is assessed and the means of tracking improvement of its standard.

2.4 The documented process shall include the CS’s methods and actions including:

- a) Notification to Owners and if required, the flag Administration.
- b) Control mechanism or guidance to surveyors for surveying vessels identified through its fleet monitoring method.
- c) Duration a vessel may be on the targeted list.
- d) How a vessel is to be removed from the list, e.g. by the vessel's standard being improved or Class being withdrawn.

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Note:

1. This Procedural Requirement applies from 1 January 2019.

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# TL-PR 40 Procedural Requirements for MLC, 2006 Certification

## INTRODUCTION

The “Procedural Requirements for MLC, 2006 Certification” reflect the Maritime Labour Convention, 2006 “Guidelines for Flag State Inspections”.

This document and its Annexes provide the Classification Societies with procedures and criteria for the conduct of inspections to verify compliance with the requirements of the Maritime Labour Convention, 2006 (“Convention” or “MLC, 2006”) and for the issuance of the corresponding Maritime Labour Certificate (MLC) and Declaration of Maritime Labour Compliance (DMLC), including interim MLCs and MLCs of shortened validity. Also provided are procedures governing the actions to be taken by Classification Societies when deficiencies associated with the MLC, 2006, are identified by Port State Control Officers (PSCOs). In this document, the terms Flag State, Flag and Administration are regarded as interchangeable.

Any certificates issued must comply with the format required by the Administration.

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### Note:

1. This Procedural Requirement applies from 1 May 2019.

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## **1. GENERAL**

### **1.1 Definitions**

1.1.1 "Inspection" means a process of systematic and independent verification, through the collection of objective evidence, to determine whether the conditions, procedures and processes on board comply with the flag State requirements for the implementation of the MLC, 2006, (DMLC Part I) and whether the processes are effective in achieving the objectives of the MLC, 2006, through measures as defined in DMLC Part II.

1.1.2 "Inspector" means a person who is qualified and authorized to carry out MLC inspections in accordance with the requirements of TL Procedural Requirement 10B (TL-PR 10B).

1.1.3 "DMLC" means Declaration of Maritime Labour Compliance referred to in Regulation 5.1.3 of MLC, 2006. The DMLC consists of two parts:

- (i) Part I: Drawn up by the Competent Authority referencing national requirements subject to inspection and certification;
- (ii) Part II: Drawn up by the Shipowner describing the measures for initial and on-going compliance to meet the requirements of the DMLC Part I and for continuous improvement.

1.1.4 "Deficiency" means a breach of the requirements of the Convention as implemented through the national laws and regulations of the Administration.

1.1.5 "Serious deficiency" means deficiency that constitute a serious or repeated breach of the requirements of the Convention (including seafarer's rights) or that represent a significant danger to seafarer's health, safety or security.

1.1.6 "Observation" means a statement of fact made during an inspection and substantiated by objective evidence. It may also be a statement made by the inspector referring to a weakness in MLC procedures that if not addressed may lead to a deficiency in the future.

1.1.7 "Shipowner" means Shipowner as defined in Article II of the MLC, 2006.

1.1.8 "Cold lay-up" means that a ship is taken out of service, moored in a secure location and all systems are shut down with minimum ongoing maintenance to prevent deterioration of the hull structure and machinery. Watch men or a specialist lay-up crew may be employed to ensure the safety and security of the ship.

### **1.2 Scope and application**

1.2.1 This document establishes basic procedures for:

- (i) the review and certification of DMLC Part II;
- (ii) the conduct of interim, initial, intermediate, renewal and additional shipboard inspections against the MLC, 2006, as implemented in national legislation referenced in the DMLC Part I
- (iii) the issuance of MLC to ships and their subsequent endorsement.

1.2.2 This document is intended for use by Classification Societies when they are acting as Recognised Organisations on behalf of Administrations under the provision of MLC, 2006, Reg. 5.1.2 and when conducting inspections for voluntary certification of vessels.

1.2.3 This document also establishes basic procedures for Classification Societies to follow when potential failures of the MLC system are identified by Port State Control Officers.

## **2 VERIFYING COMPLIANCE WITH MLC, 2006**

### **2.1 Responsibilities of the Classification Society**

2.1.1 During verification of compliance with the requirements of the MLC, 2006, provisions of the “Guidelines for Flag State Inspections” shall be taken into consideration.

2.1.2 A Classification Society performing verification of compliance with MLC, 2006, shall have, within its organisation, competencies in relation to:

- (i) MLC, 2006, applicable rules, regulations and relevant international instruments;
- (ii) plan approval, inspection and certification relevant to MLC, 2006;
- (iii) knowledge of ship operations;
- (iv) understanding of the constitution of ILO.

2.1.3 MLC, 2006, certification services shall be provided by qualified inspectors.

2.1.4 A Classification Society performing MLC, 2006, certification shall have implemented a documented system for the qualification and continuous updating of the competence of personnel who perform verification of compliance with the MLC, 2006.

This system shall provide for:

- (i) theoretical training covering competence requirements as specified in TL-PR 10B;
- (ii) supervised practical training as specified in TL-PR 10B;
- (iii) maintenance of records of the theoretical and practical training undertaken by each trainee.

### **2.2 Responsibilities of the inspector(s)**

2.2.1 The inspector is responsible for:

- (i) planning for an efficient inspection;
- (ii) ensuring a DMLC review has been conducted;
- (iii) complying with applicable requirements;
- (iv) clearly communicating deficiencies and observations;
- (v) reporting inspection results;

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- (vi) reviewing rectification plans and verifying effectiveness of corrective actions taken by the Master or Shipowner.

### **3 THE CERTIFICATION PROCESS**

#### **3.1 Plan Approval/Examination for newbuildings and substantial alterations to accommodation**

3.1.1 Requirements related to accommodation and recreational facilities, as stipulated in MLC, 2006, Regulation 3.1, must be verified during the plan approval/examination and survey process by the Classification Society responsible for the newbuilding or substantial alterations project. Following the ship construction, the Classification Society shall issue a Statement or other documentary evidence confirming that the ship was built or substantial alterations were made to the accommodation of an existing ship in accordance with the requirements of the MLC, 2006, Regulation 3.1 and the relevant flag State requirements.

3.1.2 Exemptions are only to be considered where Regulation 3.1 clearly specifies that the Competent Authority (after consultation with the shipowners' and seafarers' organisations) may grant exemptions. When in doubt regarding requirements from Regulation 3.1 a Classification Society should seek clarification from the Administration as appropriate.

#### **3.2 Certification activities**

3.2.1 A Maritime Labour Certificate (MLC) shall be issued to a ship following an initial or renewal inspection.

3.2.2 The issuance of a MLC is conditional upon:

- (i) a DMLC review and approval have been completed by the Classification Society that inspects the ship for MLC, 2006, unless already approved by the Administration;
- (ii) deficiencies have been rectified or a plan for rectification has been accepted.

3.2.3 On completion of the initial or renewal inspection, a Maritime Labour Certificate not exceeding five (5) years may be issued. A certificate of shorter validity may be issued in accordance with Classification Society procedures and flag State requirements.

3.2.4 When the renewal inspection has been completed within three (3) months before the expiry of the existing MLC, the new MLC shall be valid from the date of completion of the renewal inspection for a period not exceeding five (5) years from the date of expiry of the existing certificate.

3.2.5 When the renewal inspection is completed more than three (3) months before the expiry date of the existing MLC, the new MLC shall be valid for a period not exceeding five (5) years from the date of completion of the renewal inspection.

3.2.6 Where, after a renewal inspection is completed prior to the expiry of a MLC, the ship is found to continue to meet national laws and regulations or other measures implementing the requirements of the Convention, but a new certificate cannot immediately be issued at the renewal inspection and made available on board that ship, the Classification Society duly authorized for this purpose, may extend the validity of the MLC for a further period not exceeding five (5) months from the expiry date of the existing MLC, and endorse the MLC accordingly. The new MLC shall be valid for a period not exceeding five (5) years starting from the relevant dates provided for in para 3.2.4 and 3.2.5.

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3.2.7 When the renewal inspection has been completed after the expiry of the existing MLC, the new MLC shall be valid from the date of completion of the renewal inspection for a period not exceeding five (5) years from the date of expiry of the existing certificate.

### **3.3 Interim inspection**

3.3.1 Interim MLC may be issued under the following conditions:

- (i) to a new ship on delivery;
- (ii) when a ship changes flag;
- (iii) when a Shipowner assumes the responsibility for the operation of a ship which is new to that Shipowner.

3.3.2 In these circumstances, it may not be possible to verify full and effective implementation of procedures, but in order to issue an interim MLC the following must be confirmed during the inspection:

- (i) the ship has been inspected, as far as reasonable and practicable, for the matters listed in Appendix A5-I of MLC, 2006, taking into account verification of items stated below;
- (ii) the Shipowner has demonstrated to the competent authority or Classification Society that the ship has adequate procedures to comply with this Convention;
- (iii) the master is familiar with the requirements of the Convention and the responsibilities for implementation; and
- (iv) relevant information has been submitted to the competent authority to produce a DMLC.

3.3.3 An interim MLC may be issued for a maximum period of six (6) months. No subsequent interim MLC may be issued, nor may the existing interim MLC be extended.

### **3.4 DMLC Part II review process**

3.4.1 Before a ship is initially inspected for compliance with MLC, 2006, a DMLC Part II review shall be completed by the Classification Society that will inspect the ship unless carried out by the Administration. The scope of the review is to verify that the DMLC Part II, provided by the Shipowner, addresses the requirements in the DMLC Part I, issued by the Administration, including measures for initial and ongoing compliance.

3.4.2 The Shipowner's date of issue of the DMLC Part II shall be on or after the DMLC Part I issue date by the Administration. This does not apply to cases where the Administration re-issues DMLC Part I, which does not require any amendments to the existing DMLC Part II.

3.4.3 The Classification Society shall issue documentary evidence to reflect that a DMLC Part II review has been completed.

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### **3.5 Initial inspection**

3.5.1 An initial inspection may be carried out provided there is sufficient evidence that the Shipowner's measures specified in the DMLC Part II have been implemented for at least one (1) month.

### **3.6 Intermediate inspection**

3.6.1 The purpose is to verify:

- (i) ongoing compliance with MLC, 2006, as implemented through national laws and regulations;
- (ii) amendments to the DMLC Part I and Part II (if any) have been effectively implemented;
- (iii) that rectification to previous deficiencies have been completed.

3.6.2 The scope shall be the same as for initial inspection and shall be carried out between the second and the third anniversary date of the certificate.

### **3.7 Renewal inspection**

3.7.1 The scope shall be the same as for initial inspection.

### **3.8 Preparation for the inspection**

3.8.1 The inspector shall prepare an inspection plan taking into account hours of work/rest schedule for the seafarers. When the activities are planned to be carried out during hours of darkness the inspector's ability to gather information is not to be impaired (e.g. adequate and safe lighting to be provided as necessary).

3.8.2 The inspection plan shall be designed to be flexible in order to permit changes based on information gathered during the inspection and to permit the effective use of resources. The plan shall be agreed with the vessel's master and communicated to all those involved in the inspection.

3.8.3 Initial, intermediate and renewal inspections shall be performed only under normal operating conditions, e.g. when the ship is not in dry dock or in cold lay-up.

3.8.4 Interim inspections may be conducted in circumstances other than normal operating conditions, provided the ship is fully manned.

### **3.9 Executing the inspection**

3.9.1 MLC, 2006, inspection may be conducted during the same visit as ISM and ISPS audit, by harmonizing the overlapping requirements of these Codes/Convention, provided the ship is available for sufficient time. The scope of the audit(s) and inspection shall be the same as when they are carried out independently.

3.9.2 All scheduled inspections (initial, intermediate and renewal) shall be fully scoped inspections covering all of the aspects of MLC, 2006.

3.9.3 The inspection shall begin with an opening meeting.

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3.9.4 Working documents used to facilitate the inspection and to document results may include:

- (i) checklists;
- (ii) forms for reporting deficiencies and objective evidence.

3.9.5 The verification shall include review of documentation and records, visual observations, general discussion and private interviews with seafarers to confirm that the Shipowner's measures for seafarers working and living conditions as described in the DMLC Part II comply with the national requirements implementing the Convention. An inspection is based upon sampling within all areas and the inspector must use professional judgment to determine the depth of inspection for each requirement.

### **3.10 Inspection report**

3.10.1 The inspection report shall be accurate and complete, reflect the content of the inspection and should include the following:

- (i) ship name and IMO number;
- (ii) date of completion of the inspection;
- (iii) the scope and objectives of the inspection;
- (iv) serious deficiencies, deficiencies and observations issued during the inspection;
- (v) names of inspectors and their roles;
- (vi) MLC Shipowner name.

3.10.2 Any deficiencies identified shall be included in the inspection report, or in a separate deficiency report attached to the inspection report. The report is to be made available to the ship.

### **3.11 Rectification of deficiencies**

3.11.1 The deficiency as described should state clearly the act or situation identified as non-compliant and provide appropriate references to requirements in the DMLC Part I, Part II, flag State requirements, and/or the Convention, as appropriate.

3.11.2 The content of the deficiency shall be complete and concise and written in such a manner as to be easily understood. Clarity should not be sacrificed for the sake of brevity.

3.11.3 Deficiencies should be rectified at the time of inspection, whenever possible.

3.11.4 Before a MLC may be issued, endorsed or renewed the inspector would need to have confirmation either that all deficiencies noted during the inspection have been rectified or that a rectification action plan has been provided by the Shipowner and agreed by the inspector.

3.11.5 When considering which action or actions to take, the inspector should use professional judgement and take into account inter alia the following:

- (i) whether or not the deficiencies can be rapidly remedied in the port of inspection;

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- (ii) whether the deficiencies constitute a significant danger to seafarers' safety, health or security;
  - (iii) the seriousness of the breach of the requirements of the MLC, 2006;
  - (iv) length and nature of the intended voyage or service;
  - (v) prior history of similar deficiencies;
  - (vi) prior history with respect to rectifications.

3.11.6 Where deficiencies cannot be rectified, a rectification action plan shall be agreed at the time of inspection. The proposed plan shall be reviewed by the inspector to ensure the deficiency is properly addressed. The rectification action plan shall be implemented within a period not exceeding three (3) months from the completion of the inspection. The effectiveness of the corrective actions shall be verified not later than the next scheduled inspection (intermediate or renewal) or at any additional inspection that may be required whichever comes earlier.

3.11.7 Failure to implement the agreed corrective actions may be treated as grounds for invalidation of the MLC.

### **3.12 Follow-up of serious deficiencies**

3.12.1 A serious deficiency raised on a ship must be rectified or downgraded before a certificate is issued and the ship can sail. Downgrading can only take place after verifiable action has been taken to remove any significant danger to seafarers' safety, health or security (including seafarers' rights). A plan for implementation of corrective actions and rectification of outstanding deficiencies must be approved by the inspector where rectification is not possible at the time of inspection. The approved plan must be implemented within a time period not exceeding three (3) months from the date of inspection.

3.12.2 When a serious deficiency has been downgraded, at least one additional inspection should be carried out within an agreed time frame, in order to verify implementation of the corrective actions. A short term certificate valid up to three (3) months may be issued to allow for verification of necessary corrective actions during the additional inspection.

3.12.3 All serious deficiencies, including those that are downgraded during the inspection, shall be reported to the Administration.

### **3.13 Withdrawal of Certification**

3.13.1 A MLC may be withdrawn if:

- (i) rectification of deficiencies is not completed within the agreed time period, or
- (ii) where a periodical inspection has not been requested within the time window, or
- (iii) when the Shipowner does not make a request for inspection when substantial changes have been made to the structure (covered by Title 3 of MLC, 2006) of the ship, or
- (iv) a serious deficiency cannot be rectified or downgraded or an acceptable rectification plan cannot be provided for deficiencies raised.

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## **Annex 1**

### **SHIP TYPES ON MLC**

- 1 The ship type stated on the MLC shall be consistent with the ship type stated in the Safety Management Certificate (SMC).
- 2 The ship type stated shall be one of the following:
  - Passenger ship;
  - Passenger high-speed craft;
  - Cargo high-speed craft;
  - Bulk carrier;
  - Oil tanker;
  - Chemical tanker;
  - Gas carrier;
  - Mobile offshore drilling unit;
  - Other cargo ship.

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## **Annex 2**

### **PORT STATE CONTROL**

- 1 When attending a ship as a result of a Port State Control action, the Classification Society that issued the MLC shall consider the objective evidence presented by the PSCO.
- 2 Where the inspector considers that the evidence indicates the presence of a serious deficiency, the serious deficiency shall be documented and the Shipowner shall be notified immediately. The inspector shall proceed as indicated in "Follow-up of serious deficiencies".
- 3 In the absence of any specific instructions to the contrary, the scope of any additional inspection carried out following the detention of a ship that holds an interim MLC certificate shall include, as a minimum, the deficiencies identified by PSCO. Implementation will be verified to the extent that the available evidence permits.
- 4 In cases where the PSCO alleges that there is evidence of a serious deficiency, and the inspector of the MLC-issuing Classification Society considers that there is not, the PSCO, under the authority vested in the officer by the authorities of the port, will decide what further action is to be taken.
- 5 If the inspector of the MLC-issuing Classification Society disagrees with the actions taken by the PSCO, the inspector is to provide the PSCO with a written explanation of the disagreement and inform the flag State.

## Annex 3

### CERTIFICATION SCENARIOS

	Scenario	Condition	Action required	DMLC Part II	Scope of Inspection and Certification
1	Change of ship's name	Conducted by a surveyor, an auditor or an inspector	Verification on board <sup>1</sup>	Amend DMLC Part II with the ship's new name, if applicable.	1. Verify correct ship's name on all Certificates and Documents. 2. Amend/reissue Maritime Labour Certificate (MLC) with the ship's new name, if applicable.  <i>Note:</i> MLC must be amended by issuing Classification Society or by special arrangement. Replacement MLC shall have the same expiry date as the current MLC.
2	Change of flag	Conducted by an inspector	Interim inspection on board	---	1. Check that the DMLC Part I or evidence for application to issue DMLC Part I to the Administration is on board. 2. Interim inspection as required by MLC, 2006, A5.1.3.7. 3. Issue Interim MLC.
		1. DMLC Part II has already been reviewed for the new flag. 2. Conducted by an inspector.	Additional inspection on board	---	1. Verify compliance with the requirements of the DMLC Part II and MLC, 2006. 2. Re-approve new DMLC Part II and issue a replacement MLC with same expiry date as the current MLC.
3	Change in IMO ship type	1. Conducted by an inspector. 2. Substantial changes have been made to accommodation or DMLC Part II.	Interim inspection on board	Verify amendments to DMLC Part II, if any, have been submitted for approval	1. Interim verification as required by MLC, 2006, A5.1.3.7. 2. Issue interim MLC with new ship type.
4	Takeover from an organization not holding a QSCS certificate	Conducted by an inspector	Initial inspection on board	Review and approve DMLC Part II	1. Inspection to address all elements of MLC, 2006. 2. Issue MLC.
5	Ship out of service between 3 and 6 months <sup>2</sup>	Conducted by an Inspector	Additional inspection if required by the flag State	---	Endorse MLC, as appropriate.
6	Ship more than 6 months out of service <sup>2</sup>	Conducted by an inspector	Additional, inspection on board	---	1. Confirm continued compliance with the DMLC Part I and Part II. 2. Endorse/re-issue MLC, as appropriate.
7	Intermediate inspections requested after the end of the inspection time window	Conducted by an inspector	Intermediate inspection on board	---	1. If reinstated, MLC to be endorsed with a statement (e.g. Validity reinstated with scope as initial). If re-issued, MLC to have same expiry date as previous certificate. 2. Issue MLC deficiency if ISM audit is not held at the same time. 3. Issue TL-PR 17 report if ISM audit is not held at the same time.

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	Scenario	Condition	Action required	DMLC Part II	Scope of Inspection and Certification
8	Change of shipowner's name, address or other changes not requiring attendance	---	Attendance on board not required	1. Company to submit the amended DMLC Part II. 2. Verify changes in amended DMLC Part II.	Issue replacement MLC with same expiry date as the original MLC.

Note: Above scenarios may be subject to flag State requirements and should only be applied in the absence of any instructions from the Administration.

<sup>1</sup> The verification on board may be carried out by a surveyor and the certificate reissued based on documentary evidence.

<sup>2</sup> These instructions do not apply to ships for which seasonal lay-ups are a normal part of their operational routine.

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# TL-PR 41 Reporting on existence of asbestos on board

## 1. Objective

The purpose of this Procedural Requirement is to ensure that the Organisation responsible for the issue of the Passenger Ship Safety Certification (PSSC), Cargo Ship Safety Construction (SAFCON) Certification or Cargo Ship Safety Certification (CSSC) of the ship and the flag Administration, as appropriate, are notified when the existence of asbestos on board is identified by another Class Society who carries out a survey or audit onboard, for example IHM, ISM or MLC.

## 2. Scope and application

2.1 This document describes the procedure for reporting on the existence of asbestos on board during a survey or audit onboard, for example IHM, ISM or MLC and the subsequent action to be taken, when the PSSC, SAFCON Certification or CSSC is not issued by the same entity.

2.2 If the asbestos was already identified and following actions are in due course according to the ship's Safety Management System with documented evidence informed to Classification society or flag Administration stated in para.5.2, this Procedural Requirement is not needed to be followed.

2.3 The obligation of this procedure applies to Classification Societies which are subject to verification of compliance with QSCS.

## 3. Definitions

3.1 Where the term 'asbestos' is used in this procedure, it is interchangeable with 'asbestos containing material' (ACMs) or 'materials containing asbestos' as described in SOLAS 1974 regulation II-1/3-5, MSC.1/Circ.1374 or MSC.1/Circ.1426/Rev.1. For the purposes of the procedures, 'presumed asbestos containing materials' (PACMs) are to be treated the same as ACMs.

3.2 "IHM survey" means the survey for certification of the Inventory of Hazardous Materials (IHM) under either the Hong Kong International Convention For The Safe And Environmentally Sound Recycling of Ships, 2009, or EU Regulation 1257/2013.

3.3 "Report" means the documentation completed by the surveyor. The Report may be in any format decided by the Classification Society, but must contain, as a minimum, the information shown in Annex 1.

## 4. When to complete the report

4.1 When the existence of asbestos is identified during a survey or audit onboard, a Report containing as a minimum the information shown in Annex 1 is to be completed by the surveyor/auditor/inspector.

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Note:

1. This Procedural Requirement applies from 1 January 2023.

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## **5. Reporting**

5.1 The Report shall be given to the Master or company for their consultation with the Classification Society responsible for the issue of the PSSC, SAFCON Certification or CSSC of the ship, and/or the flag Administration.

5.2 The surveyor/auditor/inspector shall send the Report to either:

- a. the Classification Society that issues the PSSC, SAFCON Certification or CSSC and to the flag Administration of the ship if specifically required and in accordance with the flag Administration requirements. The contact details of the Classification Society can be found on the IACS website: [www.iacs.org.uk](http://www.iacs.org.uk), located under: PR17 and PR18 Contact Details, or
- b. the flag Administration, if the PSSC, SAFCON or CSSC survey, as appropriate, is carried out by the flag Administration.

The Report is to be forwarded within 10 working days from the completion date of survey/ audit/ inspection regardless of whether or not the asbestos is judged to be prohibited by SOLAS.

If for any reason the Report is not sent within 10 working days, the Classification Society shall document reasons for the delay.

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# Annex 1

## Minimum contents of the Report on existence of asbestos on board

The report shall have a title.

1. Identification of ship:
  - IMO number
  - Ship name
  - Flag
  - DOC (Company)
2. Identification of Survey
  - Date
  - Place
  - Name of Classification Society that carried out the Survey/Audit
  - The entity responsible for Supplier's Declaration of Conformity (SDoC), if applicable
  - IHM Identification/verification number, if applicable
3. Identification of PSSC, CSSC or SAFCON certificate issuer:
4. Details of the existence (newly identified only):
  - Name of equipment, machinery or material
  - Location
  - Quantity
  - Other
5. Action Taken