

STANDARD OPERATING PROCEDURE FOR
COMMUNICATION OF INFORMATION REQUIREMENTS
UNDER VARIOUS IMO INSTRUMENTS

CONTENTS

- 1. Obligations of Member States regarding reporting to IMO**
- 2. India's obligations**
- 3. Methods of reporting to IMO**
- 4. What is to be reported?**
- 5. Assignment of responsibility**
- 6. Review of entries:**
- 7. Verification of reporting obligations through IMSAS**
- 8. Enclosures**

STANDARD OPERATING PROCEDURE FOR COMMUNICATION OF INFORMATION REQUIREMENTS UNDER VARIOUS IMO INSTRUMENTS

1 Obligations of member states regarding reporting to IMO

Main role of IMO is to create a regulatory framework for the shipping industry that is fair and effective, universally implemented, and that promotes safe, secure, environmentally sound, efficient and sustainable shipping. However, the benefits from such a regulatory framework can only be fully achieved when all Member States carry out their obligations as required by the instruments to which they are Parties.

Member States have the primary responsibility to establish and maintain an adequate and effective system to discharge their obligations as flag, port and/or coastal States emanating from applicable international law. IMO assists Member States to improve their capabilities and overall performance in order for them to fully implement the IMO instruments to which they are Parties.

2 India's obligations and IMO conventions

India is a Party to 36 IMO Conventions and protocols and is currently in the advanced stage of ratifying Ballast Water Convention and Bunker Convention. The link below shows the details of the IMO Conventions and protocols, for which India is a party



ratification status at
IMO.xlsx

3 Methods of reporting to IMO

In accordance with IMO Res. A.1139(31), "Guidance on communication of information by Member States", (see enclosure 1) reporting to IMO may be done through one of the following methods

1. GISIS
2. By email (gisis@imo.org)
2. By post
3. By fax

In every method other than GISIS is used for communicating to IMO, it is recommended to clearly communicate to IMO, why that document cannot be reported through GISIS module.

While developing a strategy for communication by India with IMO, following were taken into consideration:

1. What is to be reported?
2. Assignment of responsibility
3. How often the entries are reviewed for adequacy and the responsible person

The web-portal 'GISIS (Global Integrated Shipping Information System)' is an online tool for reporting information and data to IMO Secretariat. It is basically an informational data hub for the global shipping industry and maritime professionals for accessing to data regarding Maritime Security, Marine Casualties and Accidents, Port Reception Facilities, Contact Points, Pollution Prevention Equipment and Anti Fouling Schemes, Piracy and Armed Robbery, Global Maritime Distress and Safety System (GMDSS), Greenhouse Gas Emissions, Information on Local Regulations, National Maritime Legislation, Survey and Certification etc. Presently GISIS consists of totally 28 (twenty-eight) modules which are further divided into sub-modules dedicated to various themes and topics. These modules can be accessed in three ways:

- Public Area: By simple registration through online.
- IMO Member's Area: Specific permissions related to uploading data

and compliance is required from the web-administrator of India IMO Secretariat's Area: For IMO employees only.

Need for GISIS

- Transparency in operations.
- Safety and security.
- Better, traced and organised operations.
- Preparedness and accounting for accidents at sea.
- To check environmental effects.
- Managing and Imparting needful actions, skills and labour.

Please see below the DGS Order 13 of 2023 about the delegation of authority for entering IMO-GISIS module to fulfil the obligations of India under various IMO conventions.



DGS Order 13 of
2023.pdf

4 What is to be reported?

A comprehensive reporting plan (CRP) has been developed through this SOP, which includes, but is not limited to, the following:

- .1 coordinating department(s) for communication of information to IMO and other entities;
- .2 format of the reports
- .3 frequency of reporting;
- .4 modality(ies) for reporting; and
- .5 periodical evaluation of the fulfilment of obligations

An IMO Assembly resolution provides a non-exhaustive list of obligations under the instruments that make the ILO Code mandatory, and is updated every two years.

On the basis of this IMO resolution, a non-exhaustive list of India's obligations for communication of information to IMO has been prepared and is available in the attached file.



SOP- list of
Communication Oblig



SOP- list of
Communication Oblig

The information to be reported under MARPOL are given in "MEPC/Circ.318 - Formats for a mandatory reporting system under MARPOL 73/78" (Enclosure 3)

The information received at IMO are reviewed annually by respective Committees and are issued as Circular letters for information of the Member States. As an example, following IMO circulars provides a summary on the status of reports received at IMO :

1. MEPC.1 Circular (issued every year) showing "summary reports and analysis of mandatory reports under MARPOL" for the previous two years.
2. HTW Circular (issued every year) showing the summary on dispensations issued by Parties under article VIII of the STCW Convention.

5 Assignment of responsibility

DGS is responsible for communication of all information to IMO by India, under various IMO Conventions. A comprehensive reporting plan to IMO has been developed for implementation by all wings/MMDs (DGS Order 13 of 2023 , 'Delegation of GISIS reporting') and is available in the file, as below



DGS Order 13 of
2023.pdf

Even though responsibility for updating few items in GISIS module is exclusively assigned to Indian Register of Shipping as per the above DGS Order, the overall responsibility shall remain with the responsible officer of Engineering wing / Nautical Wing / Naval Architecture wing / non-technical wings, depending on the responsibility assigned in the DGS Order. Responsible officers have to review and ensure that all information provided to IMO are updated, as early as possible.

6 Review of entries:

Review of entries in GISIS and the information sent to IMO by other means should be carried out periodically by HoDs of Engineering wing / Nautical Wing / Naval Architecture wing, as per DGS Order 13 of 2023, preferably every 6 months. Necessary steps for adding missing entries in GISIS / sending email to IMO, as applicable shall be done by the HoDs. Records of such reviews may be maintained at the discretion of HoDs.

IMSAS:

The audit scheme, using the IMO Instruments Implementation Code (III Code) as the audit standard, aims to provide an audited Member State with a comprehensive and objective assessment of how effectively it administers and implements those mandatory IMO instruments which are covered by the Scheme.

Audits under the Scheme became mandatory on 1 January 2016. For the institutionalization of the Scheme the following IMO instruments are covered:

- 1) the International Convention for the Safety of Life at Sea, 1974, as amended (SOLAS 1974) .
- 2) the Protocol of 1988 relating to the International Convention for the Safety of Life at Sea, 1974, as amended (1988 SOLAS Protocol)
- 3) the Convention for the Prevention of Pollution from Ships, as Modified by the Protocol of 1978 relating thereto (MARPOL 73/78)
- 4) Annex of the Protocol of 1997 to amend the Convention for the Prevention of Pollution from Ships, as Modified by the Protocol of 1978 relating thereto MARPOL PROT 1997).
- 5) the International Convention on Load Lines, 1966 (LL 1966)
- 6) the Protocol of 1988 relating to the International Convention on Load Lines, 1966 (1988 Load Lines Protocol), as amended
- 7) the International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978, as amended (STCW 1978)(limited scope)
- 8) the Convention on the International Regulations for Preventing Collisions at Sea, 1972, as amended (COLREG 1972).

- 9) the International Convention on Tonnage Measurement of Ships, 1969 (TONNAGE 1969).

Paragraph 9 of the III Code provides for verification of the fulfilment of obligations by the Member State. The list of obligations under the nine mandatory instruments are listed in an IMO resolution, titled "Non-exhaustive list of obligations under instruments relevant to the IMO instruments implementation Code (III Code)" will be verified during an IMSAS audit.

The records of all communication of information to IMO under the mandatory IMO instruments shall be maintained in accordance with DGS Order 13 of 2023 by all wings/branches of the Directorate for verification during an IMSAS audit.

Enclosure 4 provides the list of India's reporting obligations to IMO under paragraph 9 of the III Code.

Enclosures

1. IMO Res. A.1139(31), "Guidance on communication of information by Member States".
2. IMO Res A.1157(32) - 2021 Non-exhaustive list of obligations under instruments relevant to the IMO instruments implementation Code (III CODE) (amended every 2 years- see the latest)
3. MEPC/Circ.318 - Formats for a mandatory reporting system under MARPOL 73/78
4. List of reporting obligations under IMSAS, prepared by DGS.



IMO Res.
A.1139(31).pdf



A.1157(32).pdf



MEPC-Circ.318.pdf



SOP- list of
Communication Oblig

STATUS OF CONVENTIONS

As at 24 January 2024

India

IMO Convention 48	<input checked="" type="checkbox"/>
SOLAS Convention 74	<input checked="" type="checkbox"/>
SOLAS Protocol 78	<input checked="" type="checkbox"/>
SOLAS Protocol 88	<input checked="" type="checkbox"/>
SOLAS Agreement 96	<input checked="" type="checkbox"/>
LOAD LINES Convention 66	<input checked="" type="checkbox"/>
LOAD LINES Protocol 88	<input checked="" type="checkbox"/>
TONNAGE Convention 69	<input checked="" type="checkbox"/>
COLREG Convention 72	<input checked="" type="checkbox"/>
CSC Convention 72	<input checked="" type="checkbox"/>
CSC amendments 93	<input checked="" type="checkbox"/>
SFV Protocol 93	<input checked="" type="checkbox"/>
Cape Town Agreement 2012	<input checked="" type="checkbox"/>
STCW Convention 78	<input checked="" type="checkbox"/>
STCW-F Convention 95	<input checked="" type="checkbox"/>
SAR Convention 79	<input checked="" type="checkbox"/>
STP Agreement 71	<input checked="" type="checkbox"/>
Space STP Protocol 73	<input checked="" type="checkbox"/>
IMSO Convention 76	<input checked="" type="checkbox"/>
INMARSAT OA 76	<input checked="" type="checkbox"/>
IMSO amendments 2006	<input checked="" type="checkbox"/>
IMSO amendments 2008	<input checked="" type="checkbox"/>
FACILITATION Convention 65	<input checked="" type="checkbox"/>
MARPOL 73/78 (Annex I/II)	<input checked="" type="checkbox"/>
MARPOL 73/78 (Annex III)	<input checked="" type="checkbox"/>
MARPOL 73/78 (Annex IV)	<input checked="" type="checkbox"/>
MARPOL 73/78 (Annex V)	<input checked="" type="checkbox"/>
MARPOL Protocol 97 (Annex VI)	<input checked="" type="checkbox"/>
London Convention 72	<input checked="" type="checkbox"/>
London Convention Protocol 196	<input checked="" type="checkbox"/>
INTERVENTION Convention 69	<input checked="" type="checkbox"/>
INTERVENTION Protocol 73	<input checked="" type="checkbox"/>
CLC Convention 69	<input checked="" type="checkbox"/>
CLC Protocol 76	<input checked="" type="checkbox"/>
CLC Protocol 92	<input checked="" type="checkbox"/>
FUND Protocol 76	<input checked="" type="checkbox"/>
FUND Protocol 92	<input checked="" type="checkbox"/>
FUND Protocol 2003	<input checked="" type="checkbox"/>
NUCLEAR Convention 71	<input checked="" type="checkbox"/>
PAL Convention 74	<input checked="" type="checkbox"/>
PAL Protocol 76	<input checked="" type="checkbox"/>
PAL Protocol 90	<input checked="" type="checkbox"/>
PAL Protocol 02	<input checked="" type="checkbox"/>
LLMC Convention 76	<input checked="" type="checkbox"/>
LLMC Protocol 96	<input checked="" type="checkbox"/>
SUA Convention 88	<input checked="" type="checkbox"/>
SUA Protocol 88	<input checked="" type="checkbox"/>
SUA Convention 2005	<input checked="" type="checkbox"/>
SUA Protocol 2005	<input checked="" type="checkbox"/>
SALVAGE Convention 89	<input checked="" type="checkbox"/>
OPRC Convention 90	<input checked="" type="checkbox"/>
HNS Convention 96	<input checked="" type="checkbox"/>
HNS PROT 2010	<input checked="" type="checkbox"/>
BUNKERS CONVENTION 01	<input checked="" type="checkbox"/>
ANTI FOULING 2001	<input checked="" type="checkbox"/>
BALI LASTWATER 2004	<input checked="" type="checkbox"/>
NAIROBI WRC 2007	<input checked="" type="checkbox"/>
HONG KONG CONVENTION	<input checked="" type="checkbox"/>



भारत सरकार / GOVERNMENT OF INDIA
पत्तन, पोत परिवहन और जलमार्ग मंत्रालय
MINISTRY OF PORTS, SHIPPING AND WATERWAYS
नौवहन महानिदेशालय, मुंबई

DIRECTORATE GENERAL OF SHIPPING, MUMBAI



No.26-14/10/2023-O/o NA-DGS

Dated : 09.08.2023

DGS ORDER No. 13 of 2023

This has reference to the 1st preparatory meeting held in the Chamber of the Director General (Shipping) on 19.7.2023 for discussing the forthcoming audit of Indian Maritime Administration under IMO Member State Audit Scheme (IMSAS), scheduled during Feb 2024. In this regard, the Heads of Wings / branches of this Directorate as well as MMDs are directed to gear up with all necessary preparations for this audit. A simple responsibility matrix with regard to report obligations in the implementation of IMO instrument is developed as per the attached file for your perusal. All respective Heads of wings / branches in the Directorate as well the Principal Officers / SIC of the MMDs are requested to ensure that all database are updated by 31 Aug 2023. Full authorization in GISIS, with editing rights is already given to Officers as per the attached list.

Periodic review of the status of GISIS update shall be taken by IMSAS core team as well as the undersigned, as appropriate. All Officers are requested to plan accordingly and comply with the above order on 'Top Priority'.


(Shyam Jagannathan)
Director General of Shipping &
Addl. Secretary to the GoI.

All Branch Heads/Wings of the Directorate
All POs, MMD
All SICs, MMD

9वीं मंज़िल, बीटा बिल्डिंग, आई थिंक टेक्नो कैम्पस, कांजुर गाँव रोड, कांजुरमार्ग (पूर्व) मुंबई- 400042

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Comprehensive Reporting Plan to IMO

Module	What has to be reported?	When?	Who has to report?
External Relations Office Contact Points	Details of contact points: Head of Missions to UK, Permanent Missions to UK, Liaison Officers, Focal Points, NGOs, IGOs.	At every Change	International Branch
Contact Points	Contact list of competent authorities and authorised organizations relating to IMO matters	At every Change	International Branch
National Maritime Legislation	Texts of the national laws, orders, decrees, regulations and other instruments implementing IMOconvention	Initially each Rule and at every amendment Every Notice/Order/Circular implementing any new amendment	Legal Branch MS Legal branch to provide a link in GISIS portal
Recognized Organization	Information submitted by Member States under MSC/Circ.1010-MEPC/Circ.382	Whenever a new Agreement is signed.	Engineering
Port State Control	Detention of Foreign Flag Vessel in India Detention of Indian Vessel at PSC abroad.	To be updated after each Annual Audit of RO. At each detention	Engineering Concerned Principal Officer
Simulators	Approval of course conducted with Simulator at every MTI approved	At each approval	Training Branch
	Paragraph 5.1 of Marine Casualty Investigation Code: When a marine casualty occurs on the high seas or in an exclusive economic zone (beyond territorial sea), the flag State of a ship, or ships, involved, shall	Initial Information on all Marine Casualties to Indian Flag Ships as soon as possible.	Nautical

	notify other substantially interested States as soon as is reasonably practicable.		
Marine Casualties and Incidents 1 &2	Paragraph 6.1: 6.1 A marine safety investigation shall be conducted into every very serious marine casualty and Paragraph 14.1: The marine safety investigating State(s) shall submit the final version of a marine safety investigation report to the Organization for every marine safety investigation conducted into a very serious marine casualty	All reports of very serious casualties conducted by India.	Nautical investigation
Pollution Prevention Equipment and Anti-fouling Systems	Pollution prevention equipment required by MARPOL as approved under resolutions MEPC.60(33), A.586(14), MEPC.5(XIII), MEPC.2(VI), MEPC.59(33), MEPC.107(49), MEPC.108(49), MEPC.159(55), MEPC.227(64) and MEPC.244(66); Ballast water management systems required by the BWM Convention as approved under resolutions MEPC.174(58) and MEPC.279(70) Anti-fouling systems compliant with the AFS Convention.	At each Approval in India	Indian Register of Shipping
Test Laboratories and Halon Facilities	List of laboratories recognized by Administrations concerned which are able to conduct fire tests in accordance with the provisions of the 2010 FTP Code Information on the availability of halon banking and reception facilities at various ports around the world to recharge or decommission existing fire-extinguishing systems	At each Approval in India	Indian Register of Shipping
Ship Fuel Consumption	Mandatory reporting of fuel oil consumption by ship	Annually	Indian Register of Shipping
	Regulation 4.2: Equivalent compliance method such as scrubber or biofuel	As and when issued.	

	Regulation 11.4: Detection of violations and enforcement: Reporting on emission of substance covered by Annex VI in violation of the provisions after an investigation.	As and when detected and investigation completed.	Jurisdictional MMD
MARPOL Annex VI	Regulation 13.7.1: Approved methods for certain marine diesel engines installed on a ship constructed prior to 1 January 2000.	Engineering	
	Regulation 15.2: Ports or terminals regulating the emissions of Volatile Organic Compounds (OCs).	Initially and annually	Marine Departments
	Regulation 17.2: Ports, terminals or ship-breaking facilities where reception facilities are available.	Initially and annually	Marine Departments
	Regulation 17.3: Investigation into alleged inadequacy of reception facilities against Ports, terminals or ship-breaking facilities reported by foreign flag ships visiting Indian ports through their Administration: This sub-module is connected to inadequacy sub-module in Port Reception Facilities.	Whenever such reports are uploaded and at-least monthly to be verified.	Marine Departments
	Regulation 18.1: Fuel oil availability	List of approved bunker supplier & Subsequently at each approval	Indian Register of Shipping
	Regulation 18.2.5: Evidence of non-availability of compliant fuel oil	At receipt of such complaint against a Foreign Port from Indian ships.	Indian Ships to Engineering.
MARPOL Annex VI			
	Regulation 18.9.6: Failure of fuel oil suppliers to meet the requirements specified in regulation 14 or 18 of Annex VI;	At receipt of such complaint against a Bunker Supplier in Foreign Port from Indian ships.	Indian Ships to Engineering.

	Regulation 19.6: This is not applicable now. It was applicable when Chapter 4 came into effect and Administrations were allowed to waive requirements of EEDI to new ships for a period of 4 years as per Regulation 19.4	At each such waiver or removal of waiver.	Engineering
	Specimen of Certificates to be uploaded.	Initially At each amendments to the format of any such certificate	Engineering
	Specimens of certificates by MMDs as per FAL.2/Circ.127-MEPC.1/Circ. 817-MSC.1/Circ. 1462 in hard copy	Initially and every change of format	Engineering/Nautical/Naval Architecture
	Specimens of E-certificates by MMDs as per FAL.2/Circ.127-MEPC.1/Circ. 817-MSC.1/Circ. 1462 along with verification link.	Initially and every change of format	Naval Architecture
	Specimens of E-certificates by ROs as per FAL.2/Circ.127-MEPC.1/Circ. 817-MSC.1/Circ. 1462 along with verification link.	Initially and at every change of Format communicated by RO	Engineering
Survey and Certification	Exemptions and equivalents for ships required to communicate to the Organization by Administrations under the provisions of relevant IMO conventions and codes	As and when issued	Engineering, Nautical and Naval Architecture
	Voluntary early implementation of amendments to SOLAS and related mandatory instruments required to communicate to the Organization by Administrations under the decisions made by MSC 98	As and when a decision is taken by a Wing with DG(S) approval	Legal Branch
Bulk Chemicals	Reported data relates strictly to hazards and carriage requirements for noxious liquid substances carried in bulk under MARPOL Annex II under Tripartite Agreement	At each request for Tripartite Agreement, verification and if a tripartite agreement finalized	Engineering
	List of locations about publicly available ACEP information: In accordance with CSC 1972, regulation 2.7 of annex I, Administrations shall	Initially and after each such approval and its renewal	RO to Nautical

	make information on approved Continuous Examination Programmes (ACEP) publicly available.	
Reports of inspection programmes for CTUs carrying dangerous goods: MSC 90 approved MSC.1/Circ.1442 on Inspection programmes for cargo transport units carrying dangerous goods	To be verified and filled up. (CTU means Code of Practice for Packaging of Cargo Transport Units)	Nautical
Contact Points / Designated national competent authorities responsible for the safe carriage of grain and solid bulk cargoes	Initially and every change	Nautical
Contact Points / Organizations authorized for container testing, inspection and approval under CSC 1972	Initially and every change	Engineering
Contact Points / Designated national competent authorities for matters relating to the carriage of dangerous goods in compliance with the IMDG Code.	Initially and every change	Nautical
IMDG Code Disparities Feedback Mechanism: In order to ensure that future versions of the Code are fully harmonized, this Module provides you the opportunity to: consult and/or compare IMO documents related to the IMDG Code and its amendments; and report cases of disparities found between the versions of the Code, such as the texts in IMO documents, the printed publication and CD-ROM and internet versions of the Code.	As and when needed.	Nautical
Facility Details: to disseminate the current information on port reception facilities to the maritime community on a global basis through the Internet;	Initially and annually and at every change forwarded by Port	Jurisdictional MMD
Reported cases of alleged inadequacy: To be reported by Flag Administration , who are required to report the same to IMO Indian Ships	As and when reported by Indian Ships	Engineering

Port Facilities	Reception	Investigation of above alleged inadequacy against Indian Ports	As and when reported & investigated and to be verified for any report monthly	Jurisdictional MMD
		Details of Maritime Security Points of Contact and Security Plan for each Port	Initially and update after every security audit of port.	Jurisdictional MMD
Maritime Security Arrangements		Regulation 11 of SOLAS Chapter XI-2: Date on Alternative Security Arrangements	At every conclusion of such arrangement	Nautical
Piracy and Armed Robbery	Data	Regulation 12.1 of SOLAS Chapter XI-2: Equivalent Security arrangement permitted to ships.	At every such arrangement or if a circular/Notice/Order is issued	Nautical
LRIT Distribution Plan	Data	Regulation 12.2 of SOLAS Chapter XI-2: Equivalent Security arrangement permitted to Ports.	At every such incidence.	Nautical
GLOBAL SAR Plan		Reports of actual and attempted attacks by pirates and armed robbers against Indian ships.		Nautical
Evaluation of Hooks	Data	Reporting of information as Per Chapter V, Regulation 19.1 of SOLAS	As required	Nautical
Crew Change & Repatriation of Seafarers		Details of National Responsible Authority Details of Regional Coordination Centre Details of Tele Medical Advice Services	Initially and whenever changes to contact details	Nautical
Ballast Water Convention		Information on the evaluation of existing lifeboat release and retrieval systems	As and when done	All ROS
		For each port to detail if any restriction for crew change	Initially and after each change	Crew Branch
		Exemptions granted to ships under regulation A-4;	At each exemption granted	Engineering
		Ballast water exchange areas designated under regulation B-4.2;	If done	Engineering
		Additional measures under regulation C-1	If imposed	Engineering

			If this is the case.	Engineering
Maritime Window	Single	Warnings concerning ballast water uptake in certain areas and related flag State measures under regulation C-2. Details where Maritime Single Window provided as per FAL Convention.	As and when provided	Nautical
Facilitation of Maritime Traffic	of	Each stowaway incident on Flagged ship E-Addresses of Governmental Authorities for Facilitating the Exchange of Electronic Information Notifications pursuant to article VIII of the FAL Convention Details of national maritime facilitation committees Contact Points / Offices of designated national authorities and international organizations for Facilitation purposes	As & when reported In consultation with ports In consultation with ports	Jurisdictional MMD DGS - Administration Jurisdictional MMD Nautical
Mandatory reporting of items as per MEPC/Circ.318		Parts 1 to Part 5 as given in annexes. The Annual Statistics must reach ENG-DGS@NIC.IN by 31 March every year. For the calendar year 2022, it must reach Directorate at above e-mail by 31 August 2023	In consultation with ports	Jurisdictional MMD

Authorisation given to Officers in GISIS for entering Port reception facilities

Sl No	Date	Name of Officer	MMD name	Exit Date	Recom. by	Remarks
1	18.7.2023	Ashish Wankade	Kandla		PO-Kandla	
2	20.7.2023	P Gopinandan	Kandla		PO-Kandla	
	20.7.2023	Mohit Behl	Kandla		PO-Kandla	
3	20.7.2023	A. Srinivas Prasad	Kolkata		PO-Kolkata	
4	20.7.2023	P. C. Maihi	Paradip		CS	
5	20.7.2023	S. Mukhopadhyay	Haldia		CS	
6	-	-	-			
7	19.7.2023	Satish Kamat	Chennai		PO-Chennai	
8	20.7.2023	R R Subba Rao	Tuticorin		CS	
9	20.7.2023	Sajendra Oaron	Vizag		CS	
10	19.7.2023	Vikrant Rai	DGS		at request	
11	20.7.2023	Praveen R Nair	Mumbai		PO i/c-Mumbai	
12	20.7.2023	S. K. Shrivasthava	Goa		CS	
13	20.7.2023	Nishant Bhaskaran	Kochi		PO-Kochi	
14	20.7.2023	Bohd Raj	Mangalore		PO-Kochi	
15	21.7.2023	Senthil Jayaraman	DGS		at request	
16	24.7.2023	Nitin Mukesh	DGS		at request	
17	24.7.2023	Harinder Singh	DGS		at request	
18	24.7.2023	Manish Kumar	DGS		at request	

1. Entries are to be made in allocated spaces to all listed ports as listed in GISIS portal



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MEPC/Circ.318
26 July 1996

Ref.T5/1.01

FORMATS FOR A MANDATORY REPORTING SYSTEM UNDER MARPOL 73/78

1 Parties to MARPOL 73/78 may recall that the formats for a mandatory reporting system under MARPOL 73/78 were circulated by MEPC/Circ.266 dated 18 October 1993.

2 Attached are the revised reporting formats for a mandatory reporting system under MARPOL 73/78 ("one-line" entry format) adopted by MEPC at its thirty-eighth session (MEPC 38/20, paragraphs 4.15 and 4.16) to facilitate communication to the Organization of information called for by articles 8, 11, and 12, regulation 12 of Annex I, regulation 7 of Annex II and regulation 7 of Annex V of MARPOL 73/78. The data from these reports will be useful to the Organization to assess the effectiveness of the application of the Convention and for statistical purposes.

3 For casualty reports under article 12(1) of MARPOL 73/78, they should be reported in accordance with SOLAS arrangements. References relating to casualty reports should be included in the column 7 of Part 1(a) or Part 1(b) as appropriate of this reporting format.

4 A report under article 12(2) of MARPOL 73/78 should be made to the Organization (Marine Environment Division) whenever a Party judges that information concerning the findings of a casualty investigation will assist in determining what changes in the Convention might be desirable. This report should be in a form suitable for issue as an MEPC information paper.

5 Parties are requested to submit their annual reports using the new formats commencing with the 1996 calendar year to the Organization by 30 September each year.* Nil returns are required from Parties for each reporting requirement from the perspective of port, coastal or flag States.

6 Notwithstanding the above, IMO should be informed without delay in all cases of pollution incidents of potential interest to the public or where IMO assistance may be required.

* It is understood that the first reports in the new format to be submitted by Parties to the Organization should be received by 30 September 1997 for the calendar year of 1996 (MEPC 38/20, paragraph 4.16)

7 The reports should be addressed to:

The Director,
Marine Environment Division,
International Maritime Organization,
4, Albert Embankment,
London SE1 7SR,
United Kingdom.

Telex 23588
Telefax: (+)44 171 587 3210
Telephone: (+)44 171 735 7611

8 These formats supersede the formats contained in MEPC/Circ.266 as far as annual reporting to the Organization is concerned.

ANNEX

PART 1

ANNUAL SUMMARY REPORT (ARTICLE 11(1)) OF INCIDENTAL SPILLAGES UNDER ARTICLE II OF PROTOCOL I AND ARTICLE 12

PURPOSE: To provide IMO with a summary of discharges (article 2(3)) not permitted under the provisions of MARPOL 73/78 and pollution due to casualties to ships.

a) Discharges of 50 tonnes or more.

b) Discharges of less than 50 tonnes (to be reported at the discretion of Parties).

* Additional sheets may be provided as appropriate

PART 2

ANNUAL ENFORCEMENT REPORT ON ALLEGED DISCHARGE VIOLATIONS

PURPOSE: To summarize the violation cases referred by coastal States to other Administrations for prosecution or other action and to report to IMO.

Summary report by the coastal State to IMO of alleged violations of the discharge provisions or incidents involving harmful substances referred to flag States (article 8(2)) taking into account the flag States' responses.

(Continued)

PART 3

ANNUAL ENFORCEMENT REPORT ON RECEPTION FACILITIES

PURPOSE: To summarize the alleged inadequacy of reception facilities and to summarize the results of investigations into alleged inadequacy of reception facilities.

- a) **Summary report** by the flag State to IMO of alleged inadequacy of reception facilities referred to the port State when prior notification to use the facilities was given (Annex I-R .12 (5), Annex II-R.7(4) and Annex V-R.7(2)).

- b) **Summary report** by the port State to IMO of actions taken on alleged inadequacy of reception facilities referred to that State.

PART 4**ANNUAL STATISTIC REPORTS FOR.....(YEAR)**

PURPOSE: To provide IMO and the individual Parties with the necessary data to assess the overall implementation of MARPOL 73/78 (article 11(1)).

Section 1**Statistical report by the port State to IMO under its port State control**

1	NUMBER OF SHIPS BOARDED DURING REPORT PERIOD	_____	TOTAL
2	IOPP CERTIFICATION DISCREPANCIES:	_____	TOTAL
a)	No certificate or equivalency	_____	
b)	Certificate or equivalency discrepancy	_____	
c)	Compliance rate	_____	%
3	OIL RECORD BOOK DISCREPANCIES:	_____	TOTAL
a)	No oil record book or equivalency	_____	
b)	Oil record book or equivalency discrepancy	_____	
c)	Compliance rate	_____	%
4	MARPOL 73/78 EQUIPMENT DISCREPANCIES:	_____	TOTAL
a)	Required equipment not on board	_____	
b)	Required equipment not functioning	_____	
c)	Compliance rate	_____	%
5	NUMBER OF SHIPS DETAINED IN PORT OR DENIED ENTRY	_____	TOTAL

PART 4 (CONTINUED)**Section 2**

Summary report by the port State to IMO about violations resulting in detention or denial of entry.

1	2	3
Name and IMO No. of the ship	Violation description	Action taken

Section 3**Statistical Report to IMO of Penalties Imposed for MARPOL 73/78 Violations (article 11(1))****a) Report by port State**

Type of violation	Number	Penalty imposed			
		Fines (in £ Sterling)			Imprisonment
		Max	Min	Average	No. and average term
1. Illegal discharge					
2. Oil Record Book					
3. IOPP Certificate					
4. Other					

b) Report by flag State

Type of violation	Number	Penalty imposed			
		Fines (in £ Sterling)			Imprisonment
		Max	Min	Average	No. and average term
1. Illegal discharge					
2. Oil Record Book					
3. IOPP Certificate					
4. Other					

PART 5**DIFFICULTIES IN THE IMPLEMENTATION OF MARPOL 73/78**

Difficulties experienced in exercising port State control and the detection of violations:

List1

LIST OF COMMUNICATION OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES

The following tables contains a non-exhaustive list of obligations, which are to be reported by the Contracting Governments to IMO. Many items are covered in GISIS. Remaining obligations that are not covered shall be reported through 'other means', as necessary.

OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES		
SOURCE	SUMMARY DESCRIPTION	Responsible office
SOLAS 1974		
Reg. I/21(b)	Casualties – reporting	Nautical wing
MARPOL		
Article 8	Reports on incidents involving harmful substances	Nautical wing
Article 11(1) (a) to (c) and (e) (f) [Article 11 (1) (b) modified by MARPOL PROT 1978 (Article III)]	Communication of information	Engineering & Legal
Article 12(2)	Casualties to ships – information to IMO	Nautical
Regs. 38.4 and 38.6	Consultation with IMO for circulation of information regarding reception facilities by Parties participating in regional arrangements	Jurisdictional MMD
Annex II		
Reg. 6.3	Categorization and listing of noxious liquid substances and other substances – establish and agree on provisional assessment and notify IMO	Nautical
Regs. 18.3 and 18.5	Consultation with IMO for circulation of information regarding reception facilities by Parties participating in regional arrangements	Jurisdictional MMD
Reg. 18.5	Reception facilities and cargo unloading terminal arrangements – agreeing and establishing a date, notifying IMO	Jurisdictional MMD
Annex III		
Nil		
Annex IV		
Reg. 12.2	Consultation with IMO for circulation of information regarding reception facilities by Parties participating in regional arrangements	Jurisdictional MMD

OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES		
SOURCE	SUMMARY DESCRIPTION	Responsible office
Annex V		
Reg. 8.3	Consultation with IMO for circulation of information regarding reception facilities by Parties participating in regional arrangements	Jurisdictional MMD
Annex VI		
Reg. 13.7.1	Certification of an approved method and communication to IMO	Engineering
Reg. 17.1	Adequate reception facilities	Jurisdictional MMD
Reg. 17.2	Consultation with IMO for circulation of information regarding reception facilities by Parties participating in regional arrangement	Jurisdictional MMD
IMDG Code		
Chapter 7.9	Exemptions, approvals and certificates – notifying IMO and recognition of approvals and certificates	Nautical
Casualty Investigation Code		
Para. 4.1	Detailed contact information of the marine safety investigation authority/authorities to IMO	Nautical
Paras. 14.1 and 14.2	Marine safety investigation reports – communication to IMO	Nautical

List 2

SPECIFIC FLAG STATE OBLIGATIONS

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	RESPONSIBLE OFFICE
TONNAGE 1969		
Annex I, Reg. 1(3)	Novel types of craft – determination of tonnage and communication to IMO on method used	Naval Architecture
LL 1966 and LL PROT 1988		
Article 6(3)	Exemptions – reporting	Naval Architecture
Article 8(2)	Equivalents – reporting	Naval Architecture
Article 9(2)	Approvals for experimental purposes – reporting	Naval Architecture
Article 23	Casualties	Nautical
STCW 1978 and STCW Code		
Reg. I/10.3 and section A-I/7.3.2	Submitting reports on the measures taken to recognize certificates in accordance with regulation I/10	Nautical and Engineering
Reg. VII/1.2 and section A-I/7.3.3	Submitting a copy of the type of minimum safe manning document issued to ships employing seafarers holding alternative certificates	Nautical and Engineering
Article IX(2) and section A-I/7.3.1	Reporting information on retained/adopted equivalent educational and training arrangements pursuant to article IX of the STCW Convention	Nautical and Engineering
Regs. I/13.4 and 13.5	Reporting: (a) details of trials participated pursuant to regulation I/13 of the STCW Convention; and (b) results of mentioned trials	Nautical and Engineering
Article VIII(3)	Reporting dispensations issued pursuant to article VIII of the STCW Convention	Nautical and Engineering
SOLAS 1974		
Reg. I/4(b)	Exemptions – reporting	Nautical / Engineering / Naval Arch
Reg. I/5(b)	Equivalents – reporting	Nautical / Engineering / Naval Arch
Reg. II-1/4.3	Alternative methodologies – communication to IMO	Nautical / Engineering / Naval Arch

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	RESPONSIBLE OFFICE
Reg. II-1/55.5	Alternative design and arrangements – communication to IMO	Nautical / Engineering / Naval Arch
Reg. II-2/17.5	Alternative design and arrangements for fire safety – communication of information to IMO	Engineering
Reg. III/20.8.5	Extension of liferaft service intervals – notifying IMO	Nautical
Reg. III/38.5	Alternative design and arrangements – communication to IMO	Nautical
Reg. IV/3.3	Exemptions – reporting to IMO	Nautical
Reg. V/3.3	Exemptions and equivalents – reporting to IMO	Nautical
MARPOL		
Article 12(1)	Casualties to ships – investigations	Nautical
Annex I		
Reg. 18.10.3	Segregated ballast tanks – oil tanker delivered on or before 1 June 1982 having special ballast arrangements: communication to IMO	Engineering
Reg. 20.8.1	Double hull and double bottom requirements for oil tankers delivered before 6 July 1996 – communication to IMO	Engineering
Reg. 21.8.1	Prevention of oil pollution from oil tankers carrying heavy grade oil as cargo – communication to IMO	Engineering
Reg. 25.5	Hypothetical outflow of oil – information to IMO on accepted arrangements	Engineering

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	RESPONSIBLE OFFICE
Annex II		
Reg. 4.1.2	Exemptions – communication to IMO on relaxations	Engineering
Reg. 4.3.4	Exemptions – communication to IMO	Engineering
Reg. 4.4.5	Exemptions – communication to IMO	Engineering
Reg. 5.2	Equivalents – communication to IMO on alternatives	Engineering
Reg. 6.3	Establishment of tripartite agreements – notifying IMO	Engineering / Legal
Annex IV		
Nil		
Annex V		
Nil		
Annex VI		
Regs. 3.2, 3.3.2 and 3.4	Exceptions and exemptions	Engineering
Regs. 4.2 and 4.4	Equivalents and communication to IMO	Engineering
Reg. 11.4	Detection of violations and enforcement – investigations and communication to the Party and IMO	Engineering
Reg. 17.4	Reception facilities unavailable or inadequate – communication to IMO	Engineering
Reg. 27.9	Transfer of the reported data to the IMO Ship Fuel Oil Consumption Database	Engineering
RO Code		
Part 1/5	Communication to IMO – a list of recognized organizations (ROs)	Engineering
1994 HSC Code		
Para. 1.14.1	Investigation reports to IMO	Nautical
Para. 8.9.1.3	Notifying the Organization	Nautical
Para. 8.9.11	Novel LSAs or arrangements	Nautical
2000 HSC Code		

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	RESPONSIBLE OFFICE
Para. 1.11.2	Equivalents – reporting	Nautical / Engineering / Naval Arch
Paras. 1.13.2 and 1.13.3	Novel designs	Nautical / Engineering / Naval Arch
Para. 1.14.1	Investigation reports to IMO	Nautical
IBC CODE		
Para. 1.4.2	Equivalents – communication to IMO	Nautical
BCH CODE		
Para. 1.5.2	Equivalents – communication to IMO	Nautical
Section 1.8	New products – establishing suitable conditions – notifying IMO	Nautical
IGC CODE		
Para. 1.1.6.1	Establishment of a Tripartite Agreement, where applicable	Engineering / Legal Branch
Para. 1.1.6.3	Assessment form and a proposal for a new and complete entry – submission to IMO	Nautical
Para. 1.3.2	Equivalents – communication to IMO	Nautical / Engineering / Naval Arch
Para. 1.4.1.3	Information of nominated surveyors or ROs – communication to IMO	Engineering
Res. MEPC.94(46), as amended		
Para. 14	Communication to IMO	Engineering
IMSBC Code		
Section 1.5	Exemptions	Nautical

List 3

SPECIFIC COASTAL STATE OBLIGATIONS

SPECIFIC COASTAL STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	RESPONSIBLE OFFICE
SOLAS 1974		
Reg. IV/5	Provision of radio communication services and communication of information on such provision	Nautical
Reg. V/7.2	Search and rescue services – information to IMO	Nautical
Regs. VII/6.1 and 7-4.1	Reporting of incidents involving dangerous goods	Nautical
MARPOL		
Annex I Nil Annex II		
Reg. 13.2.3	Control of discharges of residues of NLS – agreement and communication to IMO	Nautical

List 4

SPECIFIC PORT STATE OBLIGATIONS

SPECIFIC PORT STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	RESPONSIBLE OFFICE
MARPOL		
Annex I		
Reg. 20.8.2	Denial of entry – communication to IMO	Jurisdictional MMD
Reg. 21.8.2	Denial of entry – communication to IMO	Jurisdictional MMD
Annex II Nil		
Annex III Nil		
Annex IV Nil		
Annex V Nil		
Annex VI		
Regs. 15.2 and 15.3	Volatile organic compounds – approvals of vapour emission control systems and notifying IMO	Indian Register of Shipping
Regs. 17.3 and 17.4	Ports and terminals where reception facilities are/are not available to manage and process the substances as referred to in regulation 17.1 – communication to IMO	Jurisdictional MMD
Reg. 18.1	Availability of fuel oils and communication to IMO	Indian Register of Shipping
Reg. 18.2.5	Evidence of the non-availability of compliant fuel oil – communication to IMO	Engineering
Reg. 18.9	Authorities designated for register of local suppliers, bunker delivery note and sample, fuel oil quality, actions against fuel oil suppliers for non-compliance, informing the Administration of any ship receiving non-compliant fuel oil and communication to IMO of non-compliant fuel oil suppliers as referred to in the paragraph	Engineering



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ASSEMBLY
31st session
Agenda item 10

A 31/Res.1139
6 January 2020
Original: ENGLISH

Resolution A.1139(31)

**Adopted on 4 December 2019
(Agenda item 10)**

**GUIDANCE ON COMMUNICATION OF INFORMATION
BY MEMBER STATES**

THE ASSEMBLY,

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

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

RECALLING FURTHER that, by resolutions A.1029(26) on the *Global Integrated Shipping Information System (GISIS)* and A.1074(28) on *Notification and circulation through GISIS*, it recognized that GISIS aims at facilitating, inter alia, Member States' compliance with reporting requirements,

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

RECOGNIZING ALSO the findings identified in audits under the IMO Member State Audit Scheme (IMSAS) related to a shortfall in the communication of information as required under IMO instruments and the *IMO Instruments Implementation Code* (resolution A.1070(28)), which have highlighted the difficulties faced by audited Member States in the implementation and enforcement of mandatory IMO instruments to which they are Parties,

RECOGNIZING FURTHER the need for guidance to facilitate compliance by Member States with the communication of information requirements under various IMO instruments and to assist them in fulfilling their reporting obligations more effectively,

A 31/Res.1139

Page 2

HAVING CONSIDERED the recommendations made by the Marine Environment Protection Committee, at its seventy-fourth session, and the Maritime Safety Committee, at its 101st session,

1 ADOPTS the *Guidance on communication of information by Member States*, as set out in the annex to the present resolution;

2 INVITES Member States to take into account the annexed Guidance when fulfilling their obligation in communicating information to all concerned parties;

3 REQUESTS the Maritime Safety Committee and the Marine Environment Protection Committee to keep the *Guidance on communication of information by Member States* under review, for further improvement, as may be necessary.

Annex

GUIDANCE ON COMMUNICATION OF INFORMATION BY MEMBER STATES

1 Purpose

The purpose of this Guidance is to facilitate compliance by Member States with the communication of information requirements under various IMO instruments and to assist them in fulfilling their reporting obligations more effectively.

2 Application

This Guidance applies to all parties that are involved in the communication of information by Member States to all concerned. The concerned parties include, but are not limited to, IMO, other Member States and other related international organizations and institutions.

3 Communication of information requirements

3.1 Reporting requirements include the obligation of communication of information under various IMO instruments, as well as those under paragraph 9 of the *IMO Instruments Implementation (III) Code* (resolution A.1070(28)).

3.2 An inventory of reporting requirements under IMO instruments, including associated guidance and information, is available in the Reporting Requirements Dashboard module of the Global Integrated Shipping Information System (hereinafter referred to as GISIS).

4 Objectives

The objectives of this Guidance are:

- .1 to promote the capacity-building of Member States in fulfilling their obligations for communication of information; and
- .2 to address difficulties encountered by Member States in fulfilling their obligations for communication of information and to take measures to further improve the effectiveness of the communication of information as required under the applicable IMO instruments.

5 Plan

5.1 Member States are recommended to establish a reporting system by identifying the obligations for communication of information under IMO instruments and assigning related responsibilities among relevant entities participating in the implementation and enforcement of the applicable IMO instruments.

5.2 A comprehensive reporting plan (CRP) is recommended to be developed, which includes, but is not limited to, the following:

- .1 coordinating department(s) for communication of information to IMO and other entities;
- .2 format of the reports;

- .3 frequency of reporting;
- .4 modality(ies) for reporting; and
- .5 periodical evaluation of the fulfilment of obligations.

6 Do

Who

6.1 As information may have to be communicated to several entities, Member States should first identify relevant parties, and respective reporting requirements, and whether the communication is done through GISIS or not. While doing so, care should be taken to ensure consistency of information and to avoid repetitive reporting and excessive use of resources.

6.2 Each Member State should designate a GISIS Administrator, in accordance with Circular Letter No.2892 on *Access to IMO web services, including GISIS and IMODOCS*, who should be responsible for creating and maintaining all user accounts for the Member State.

How

6.3 The communication of information can be done in the following four ways:

- .1 through GISIS (E-notification)

Resolution A.1074(28) on the *Notification and circulation through the Global Integrated Shipping Information System (GISIS)* in its operative paragraph 2 states that "once Contracting Governments or Parties have notified through GISIS in respect of a reporting requirement to the Organization, the requirement for the Organization to circulate any such notification under the IMO instrument concerned would have been met". Therefore, GISIS is one of the important means for Member States to fulfil their reporting obligations;

- .2 through a letter (written notification)

Each Member State could fulfil its reporting obligation by forwarding the required information through a letter, with a request to inform other Member States, as appropriate;

- .3 through XML (E-notification)

Member States may consult the Secretariat to consider a cooperation agreement on XML software development. In this case, Member States should bear the expenses of software development. The Secretariat could provide standard data formats and data verification methods for each module's interface in a suitable manner or upon the request of a Member State; and

- .4 through other platform(s) for reporting (E-notification)

Member States should verify whether information can be submitted through other platforms (such as Equasis, EMCIP).

What

6.4 Reporting requirements, format for communication (where available), reporting frequency, method of reporting and other related information are listed in the GISIS Reporting Requirements Dashboard module.

6.5 For communication of information requirements without specified instructions, the Secretariat can be contacted at the following address: info@imo.org

When

6.6 During the planning of the communication of information, the reporting time and frequency should be given due attention and the following factors may be considered:

- .1 for the information reported directly from Member States to IMO:
 - .1 reporting frequency should be followed when it is clearly stated in the IMO instruments; and
 - .2 when reporting frequency is not clearly stated in the IMO instruments:
 - .1 the texts of national legislation should be communicated after promulgation of such legislation or, alternatively, uploaded onto relevant webpages of the Member State, with a link sent to IMO;
 - .2 for information such as the change of contact points or the outcomes of hook evaluation regarding lifeboat release and retrieval system, the communication should be made through GISIS as and when the changes take place; and
 - .3 all other information should be reported annually; and
- .2 for the information to be communicated by Member States under the IMO instruments to other international organizations or institutions, the reporting frequency should be implemented by Member States according to requirements of the organizations or the institutions.

7 Check

7.1 Each Member State should establish a mechanism to evaluate the effectiveness of its communication of information. If the performance in reporting does not reach the anticipated goals, the Member State should analyse root causes and take corrective measures, including seeking technical assistance from IMO, if necessary. The verification mechanism may include internal and external checks.

7.2 In the context of an internal check, Member States should carry out a self-evaluation to determine whether remedial measures need to be taken to enhance implementation capabilities. Internal checks may include, but are not limited to:

- .1 verification whether there are new reporting requirements, and, if so, to include them in the reporting system;

- .2 self-evaluation of performance in reporting with reference to the GISIS Reporting Requirements Dashboard module;
- .3 identification of best practices and difficulties encountered in reporting; and
- .4 consideration of suggestions for improvements in the reporting.

7.3 Member States may ascertain the shortcomings and potential improvements in communication through external checks, which may include, but are not limited to:

- .1 verification of the level of the reporting performance as indicated in the GISIS Reporting Requirements Dashboard module;
- .2 findings and/or best practices related to communication of information as reported from audits of Member States under IMSAS and listed in the Consolidated Audit Summary Reports (CASRs) as issued from time to time through circular letters (e.g. Circular Letter No.3772);
- .3 analysis of data published by relevant international industries about the status of communication by Member States; and
- .4 collection of results of the above-mentioned three external checks to prepare an independent report on lessons learned. Such a report could be used by the department of a Member State responsible for reporting to improve the performance.

8 Act

8.1 Member States should develop a corrective action plan to correct any shortcomings and implement improvements in reporting.

8.2 The corrective action plan may include, but is not limited to, the following:

- .1 timeline for corrective action;
 - .2 entities responsible for corrective action;
 - .3 expected improvement in the performance; and
 - .4 post-evaluation after the implementation of the corrective action.
-

Resolution A.1157(32) Adopted on 15 December 2021 (Agenda items 12 and 14)
2021 NON-EXHAUSTIVE LIST OF OBLIGATIONS UNDER INSTRUMENTS
RELEVANT TO THE IMO INSTRUMENTS IMPLEMENTATION CODE (III CODE)



E

ASSEMBLY
32nd session
Agenda items 12 and 14

A 32/Res.1157
28 January 2022
Original: ENGLISH

Resolution A. 1157(32)

**Adopted on 15 December 2021
(Agenda items 12 and 14)**

**2021 NON-EXHAUSTIVE LIST OF OBLIGATIONS UNDER INSTRUMENTS RELEVANT
TO THE IMO INSTRUMENTS IMPLEMENTATION CODE (III CODE)**

THE ASSEMBLY,

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

RECALLING ALSO that, by resolution A.1070(28), it adopted the *IMO Instruments Implementation Code (III Code)*,

RECALLING FURTHER resolution A.1141(31), by which it adopted the *2019 Non-exhaustive list of obligations under instruments relevant to the IMO Instruments Implementation Code (III Code)* (hereafter referred to as the "Non-exhaustive list of obligations") for guidance on the implementation and enforcement of IMO instruments, in particular including the identification of auditable areas relevant to the IMO Member State Audit Scheme, as provided in mandatory provisions of relevant IMO instruments, following successive revocation of resolutions A.1121(30), A.1105(29) and A.1077(28),

RECOGNIZING the need for the annexes to the Non-exhaustive list of obligations to be further revised to take account of the amendments to the IMO instruments relevant to the III Code which have entered into force or become effective since the adoption of resolution A.1141(31),

RECOGNIZING ALSO that parties to the relevant international conventions have, as part of the ratification process, agreed to fully meet their responsibilities and to discharge their obligations under the conventions and other instruments to which they are party,

REAFFIRMING that it is the primary responsibility of States to have in place an adequate and effective system to exercise control over ships entitled to fly their flag and to ensure that they comply with relevant international rules and regulations in respect of maritime safety, security and protection of the marine environment,

REAFFIRMING ALSO that States, in their capacity as flag, port and coastal States, have other obligations and responsibilities under applicable international law in respect of maritime safety, security and protection of the marine environment,

A 32/Res.1157

Page 2

NOTING that, while States may gain certain benefits by becoming party to instruments aimed at promoting maritime safety, security and protection of the marine environment, these benefits can be fully realized only when all parties carry out their obligations as required by the instruments concerned,

NOTING ALSO that the ultimate effectiveness of any instrument depends, *inter alia*, upon all States:

- (a) becoming party to all instruments related to maritime safety, security and pollution prevention and control;
- (b) implementing and enforcing such instruments fully and effectively;
- (c) reporting to the Organization as required,

RECALLING that, by resolutions A.1083(28), A.1084(28) and A.1085(28), it adopted amendments to the International Convention on Load Lines, 1966, the International Convention on Tonnage Measurement of Ships, 1969, and the Convention on the International Regulations for Preventing Collisions at Sea, 1972, to make the use of the III Code mandatory under these conventions,

NOTING that the Maritime Safety Committee, by resolutions MSC.366(93), MSC.373(93), MSC.374(93) and MSC.375(93), adopted amendments to the International Convention for the Safety of Life at Sea, 1974, the International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978, the Seafarers' Training, Certification and Watchkeeping (STCW) Code, and the Protocol of 1988 relating to the International Convention on Load Lines, 1966, respectively, to make the use of the III Code mandatory under these instruments,

NOTING ALSO that the Marine Environment Protection Committee, by resolutions MEPC.246(66) and MEPC.247(66), adopted amendments to the International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 relating thereto, and the Protocol of 1997 to amend the International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 relating thereto, respectively, to make the use of the III Code mandatory under these instruments,

HAVING CONSIDERED the recommendations made by the Maritime Safety Committee, at its 104th session, and the Marine Environment Protection Committee, at its seventy-seventh session,

1 ADOPTS the *2021 Non-exhaustive list of obligations under instruments relevant to the IMO Instruments Implementation Code (III Code)*, as set out in the annex to the present resolution;

2 URGES Governments of all States, in their capacity as flag, port and coastal States, to make use of the List as much as possible in implementing IMO instruments on a national basis;

3 REQUESTS the Maritime Safety Committee and the Marine Environment Protection Committee to keep the List under review and to amend it as necessary;

4 REVOKES resolution A.1141(31).

ANNEX

2021 NON-EXHAUSTIVE LIST OF OBLIGATIONS UNDER INSTRUMENTS RELEVANT TO THE IMO INSTRUMENTS IMPLEMENTATION CODE (III CODE)

(This Non-exhaustive list of obligations takes into account the amendments to the IMO instruments relevant to the III Code which have, or are expected to have, entered into force by or on 1 July 2022.)

Table of contents

- Annex 1: OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES
- Annex 2: SPECIFIC FLAG STATE OBLIGATIONS
- Annex 3: SPECIFIC COASTAL STATE OBLIGATIONS
- Annex 4: SPECIFIC PORT STATE OBLIGATIONS
- Annex 5: INSTRUMENTS MADE MANDATORY UNDER IMO CONVENTIONS
- Annex 6: SUMMARY OF AMENDMENTS TO MANDATORY INSTRUMENTS
REFLECTED IN THE NON-EXHAUSTIVE LIST OF OBLIGATIONS
(ANNEXES 1 TO 4)
- Annex 7: AMENDMENTS TO IMO INSTRUMENTS EXPECTED TO BE ACCEPTED
AND TO ENTER INTO FORCE BETWEEN 1 JANUARY 2022
AND 1 JULY 2022

Annex 1

OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES

The following table contains a non-exhaustive list of obligations, including those obligations imposed when a right is exercised.

OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
TONNAGE 1969		
Article 1	General obligation under the Convention	
Article 5(2)	Force majeure	
Article 8	Issue of a certificate by another Government	
Article 10	Cancellation of certificate	
Article 11	Acceptance of certificates	
Article 15	Communication of information	
ANNEX III Reg.9	Verification of compliance with the provisions of this Convention	
LL 1966 and LL PROT 1988¹		
Article 1	General obligation under the Convention	
	General obligations	LL PROT 1988 only (Article I)
Article 7(2)	Force majeure	
Article 17	Issue or endorsement of certificates by another Government	amended by LL PROT 1988
Article 20	Acceptance of certificates	
Article 25	Special rules drawn up by agreement	
Article 26	Communication of information	

¹ When the obligation does not derive from the International Convention on Load Lines, 1966, but solely from the Protocol of 1988 relating thereto, this is indicated in the "Comments" column.

OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
ANNEX IV Reg.54	Communication of information Verification of compliance with the provisions of this Convention	LL PROT 1988 only (Article III)
COLREG 1972 Article I	General obligations	
STCW 1978		
Article I	General obligations under the Convention	
Article IV	Communication of information	
Article XI(1)	Promotion of technical cooperation	
Reg. I/2.12	Issue of certificates of competency	
Reg. I/2.14	Maintenance of a register or registers of all certificates and endorsements	
Regs. I/2.15 and 2.16	Availability of information on the status of certificates of competency, endorsements and dispensations (as of 1 January 2017, available in English through electronic means)	
Reg. I/3	Principles governing near-coastal voyages, communication of information and incorporation of limits in the endorsements	
Reg. I/5	National provisions – impartial investigation, enforcement measures including penalties or disciplinary measures and cooperation	
Reg. I/6.1	Training and assessment – administration, supervision and monitoring	
Reg. I/6.2	Qualification of those responsible for training and assessment	
Reg. I/7	Communication of the information as referred to in article IV of the STCW Convention and A-I/7 of the STCW Code	
Regs. I/8.1 and 8.2	Quality standards system and periodical independent evaluation	

OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. I/8.3	Communication of a report containing the results of the evaluation required by regulation I/8.2	
Regs. I/9.1 and 9.2	Medical standards, procedures for the issue of medical certificates and recognition of medical practitioners	
Reg. I/9.6	Procedures governing the validity of a medical certificate which expires in the course of a voyage	
Regs. I/11.5 and 11.6	Comparison of standards of competence – determination of need for appropriate refresher and updating training or assessment and formulation or promotion of the formulation of a structure of refresher and updating courses	
Reg. II/5.3	Comparison of standards of competence – determination of the need to update qualifications for able seamen to whom certificates are issued before 1 January 2012	
Reg. III/5.3	Comparison of standards of competence – determination of the need to update qualifications for ratings in engine department to whom certificates are issued before 1 January 2012	
Reg. III/6.3	Comparison of standards of competence – determination of the need to update qualifications for electro-technical officers to whom certificates are issued before 1 January 2012	
Reg. III/7.3	Comparison of standards of competence – determination of the need to update qualifications for electro-technical ratings to whom certificates are issued before 1 January 2012	
Reg. VII/3.1	Principles governing the issue of alternative certificates	
SOLAS 1974		
Article I	General obligations under the Convention	in SOLAS PROT 1978 and SOLAS PROT 1988
Article III	Communication of information	in SOLAS PROT 1978 and SOLAS PROT 1988
Article V(c)	Carriage of persons in emergencies – reporting	

OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Article VII	Special rules drawn up by agreement	
Article XI	Denunciation	in SOLAS PROT 1988 (Article VII)
Reg. I/13	Issue or endorsement of certificates by another Government	in SOLAS PROT 1988
Reg. I/17	Acceptance of certificates	also Reg. I/19(b)
Reg. I/21(b)	Casualties – reporting	
Reg. IV/5-1	Global maritime distress and safety system identities – ensuring suitable arrangements	
Reg. V/5	Meteorological services and warnings	
Reg. V/6	Ice Patrol Service	
Reg. V/10	Ships' routeing	
Reg. V/11	Ship reporting systems	
Reg. V/12	Vessel traffic services	
Reg. V/13	Establishment and operation of aids to navigation	
Reg. V/31.2	Danger messages – bring to the knowledge of those concerned and communicate to other interested Governments	
Reg. V/33.1-1	Distress situations: obligations and procedures – coordination and cooperation	
Reg. VI/1.2	Appropriate information on safe carriage of cargoes	
Reg. VI/2.4.2	Approval of certified method for weighing the gross mass of cargo carried in a container	
Reg. VII/2.4	Issue of instructions on emergency response, etc.	
Reg. VII/7-1	Issue of instructions on emergency response, etc.	

OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
MARPOL		
Article 1	General obligations under the Convention	and MARPOL PROT 1978 (Article I)
Articles 4(2) and 4(4)	Violation	
Article 5(1)	Certificates and special rules on inspection of ships – acceptance of certificates	
Article 5(4)	Certificates and special rules on inspection of ships – no more favourable treatment	
Article 6(1)	Detection of violations and enforcement of the Convention – cooperation	
Article 6(3)	Detection of violations and enforcement of the Convention – furnishing evidence	
Article 7	Undue delay to ships	
Article 8	Reports on incidents involving harmful substances	
Article 11(1) (a) to (c) and (e) (f)	Communication of information	Article 11 (1) (b) modified by MARPOL PROT 1978 (Article III)
Article 12(2)	Casualties to ships – information to IMO	
Article 17	Promotion of technical cooperation	
Annex I		
Reg. 8	Issue or endorsement of a certificate by another Government	
Reg. 15.7	Control of discharge of oil – investigations (machinery spaces)	
Reg. 34.7	Control of discharge of oil – investigations (cargo area)	
Regs. 38.4 and 38.6	Consultation with IMO for circulation of information regarding reception facilities by Parties participating in regional arrangements	

OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Annex II		
Reg. 6.3	Categorization and listing of noxious liquid substances and other substances – establish and agree on provisional assessment and notify IMO	
Regs. 9.3.1, 9.3.2, 9.3.3 and 9.3.4	Issue or endorsement of a certificate by another Government	
Reg. 13.4	Control of discharges of residues – exemption for a prewash	
Regs. 18.3 and 18.5	Consultation with IMO for circulation of information regarding reception facilities by Parties participating in regional arrangements	
Reg. 18.5	Reception facilities and cargo unloading terminal arrangements – agreeing and establishing a date, notifying IMO	
Annex III		
Reg. 1.3	Application – issue detailed requirements	
Annex IV		
Reg. 6	Issue or endorsement of a certificate by another Government	
Reg. 12.2	Consultation with IMO for circulation of information regarding reception facilities by Parties participating in regional arrangements	
Annex V		
Reg. 8.3	Consultation with IMO for circulation of information regarding reception facilities by Parties participating in regional arrangements	
Annex VI		
Reg. 7	Issue or endorsement of a certificate by another Government	Addition related to IECC by MEPC.203(62)
Regs. 9.9.3 and 9.11.2	Transfer of flag – transmitting copies of the certificate and the relevant survey report	

OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. 11.1	Detection of violations and enforcement – cooperation	
Reg. 11.2	Inspection report in case of detection of violations	
Reg. 11.3	Detection of violations and enforcement – information to flag State and master on violations detected	
Reg. 11.5	Transmission of report to requesting Party	
Reg. 13.7.1	Certification of an approved method and communication to IMO	
Reg. 17.1	Adequate reception facilities	
Reg. 17.2	Consultation with IMO for circulation of information regarding reception facilities by Parties participating in regional arrangement	
ISM Code		
Para. 14.3	Extension of validity of Interim Safety Management Certificate (Interim SMC) by another Contracting Government	
1994 HSC Code		
Para. 1.8.2	Issue of certificates by another Government	
Para. 14.2.1.12	Definition of "sea area A1"	as may be defined
Para. 14.2.1.13	Definition of "sea area A2"	as may be defined
2000 HSC Code		
Para. 1.8.2	Issue of certificates by another Government	
Para. 14.2.1.13	Definition of "sea area A1"	as may be defined
Para. 14.2.1.14	Definition of "sea area A2"	as may be defined
IMDG Code		
Section 1.3.1	Training of shoreside personnel – establishment of the period of time for keeping records of training	

OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Section 1.5.2	Radiation protection programme – role of competent authority	
Section 1.5.3	Management system – role of competent authority	
Para. 2.0.0.1	Classification of dangerous goods where applicable – role of competent authority	
Chapter 3.3, SP356	Approval of metal hydride storage systems installed in vehicles, vessels or aircrafts or in completed components or intended to be installed in vehicles, vessels or aircrafts	
Chapter 4.1	Approval of packaging as referred to in the chapter – role of competent authority	
Section 5.1.5	General provisions for class 7 – role of competent authority	
Section 5.4.1	Information required in addition to the dangerous goods description – role of the competent authority	
Chapter 5.5	Determining the period between fumigant application and loading of fumigated cargo transport unit on board the ship	
Chapter 6.2	Approval of pressure receptacles, aerosol dispensers, small receptacles containing gas and fuel cell cartridges containing liquefied flammable gas – role of competent authority	
Para. 6.2.2.1.1	Approval of cylinder service life test programme and the results – role of competent authority	
Para. 6.2.2.5	Approval of conformity assessment system; availability of the evidence demonstrating compliance of conformity assessment system to its counterpart in a country of use; approval of inspection bodies; and availability of a current list of approved inspection bodies and their identity marks and approved manufacturers and their identity marks – role of competent authority	

OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para. 6.2.2.6	Establishment of an approval system for periodic inspection and testing of pressure receptacles; availability of evidence demonstrating compliance with this approval system to its counterpart in a country of use; and availability of a current list of approved periodic inspection and testing bodies and their identity marks – role of competent authority	
Section 6.2.3	The marking of salvage pressure receptacles – determination by the competent authority	
Section 6.3.2	Quality assurance programme – role of competent authority	
Section 6.3.5	Procedures for performance and frequency of tests – role of competent authority	
Chapter 6.4	Approval of package design and materials for class 7 – role of competent authority	
Section 6.5.4	Testing, certification and inspection – role of competent authority	
Chapter 6.6	Provisions for the construction and testing of large packaging – role of competent authority	
Chapter 6.7	Provisions for the design, construction, inspection and testing of portable tanks and multiple-element gas containers – role of competent authority	
Chapter 6.8	Provisions for road tank vehicles and road gas elements vehicles– role of competent authority	
Para. 7.1.4.5	Stowage of goods of class 7 – role of competent authority	
Chapter 7.9	Exemptions, approvals and certificates – notifying IMO and recognition of approvals and certificates	
IMSBC Code		
Para. 1.7	Independence of a competent authority	
Para. 1.7	Approval of the TML test procedure, such as those specified in paragraph 1 of appendix 2	

OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Casualty Investigation Code		
Para. 4.1	Detailed contact information of the marine safety investigation authority/authorities to IMO	
Paras. 5.1 and 5.2	Notification of a marine casualty	
Paras. 7.1 and 7.2	Agreement to conduct a marine safety investigation	
Para. 8.1	Powers provided to investigator(s)	
Para. 9.2	Coordination for parallel investigations	
Para. 10.1	Cooperation in investigating	
Para. 11.1	Investigation not to be subject to external direction	
Paras. 13.1,13.4 and 13.5	Draft marine safety investigation reports	
Paras. 14.1 and 14.2	Marine safety investigation reports – communication to IMO	
Para. 14.4	Marine safety investigation reports – available to public and shipping industry	
IBC Code		
Para. 1.5.3	Maintenance of conditions after survey	
Para. 1.5.5.1	Issue or endorsement of International Certificate of Fitness by another Government	
BCH Code		
Para. 1.6.4.1	Issue or endorsement of certificate by another Government	
IGC Code		
Para. 1.4.5	Issue or endorsement of certificate by another Government	

OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
STCW Code, part A		
Section A-I/6.1	Training and assessment of seafarers for certification	
Section A-I/6.3	Qualifications of instructors, supervisors and assessors	
Section A-I/6.7	Training and assessment within an institution	
Section A-I/7.2	Communication of information – initial communication (within one year of entry into force of regulation I/7)	
Sections A-I/7.3, 7.4, 7.5 and 7.6	Communication of information – subsequent reports (within the periods as referred to in paragraphs 7.3, 7.4, 7.5 and 7.6)	
Sections A-I/8.1 and 8.3	National objectives and quality standards	
Section A-I/9.1	Medical standards – eyesight standards and physical and medical fitness	
Section A-I/9.4	Provisions for recognizing medical practitioners and maintenance of a register of recognized medical practitioners	
Sections A-I/9.5 and 9.6	Guidance, processes and procedures for conducting medical fitness examinations and issuing medical certificates	
Section A-I/12.1	General performance standards for simulators used in training	
Section A-I/12.2	General performance standards for simulators used in assessment of competence	
Section A-I/12.6	Simulator training objectives	
Section A-I/12.9	Qualification of instructors and assessors	
Section A-VIII/2.9	Watchkeeping at sea – directing the attention of companies, masters, chief engineer officers and watchkeeping personnel to observe the principles in parts 4-1 and 4-2	

OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
III Code	<i>IMO Instruments Implementation Code</i> Application of the provisions of the III Code under related mandatory IMO Instruments	

Annex 2

SPECIFIC FLAG STATE OBLIGATIONS

The following table contains a non-exhaustive list of obligations, including those obligations imposed when a right is exercised.

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
TONNAGE 1969		
Article 6	Determination of tonnages	
Article 7(2)	Issue of certificates	
Article 9	Form of certificate	
Annex I, Reg. 1(3)	Novel types of craft – determination of tonnage and communication to IMO on method used	
Annex I, Reg. 5(3)(b)	Change of net tonnage – alterations or modifications deemed by the Administration to be of a major character	
Annex I, Reg. 7	Measurement and calculation	
LL 1966 and LL PROT 1988²		
	Existing certificates	LL PROT 1988 only (Article II-2)
Article 6(3)	Exemptions – reporting	
Article 8(2)	Equivalents – reporting	
Article 9(2)	Approvals for experimental purposes – reporting	
Article 13	Surveys and marking	amended by LL PROT 1988
Article 14	Initial, renewal and annual survey	amended by LL PROT 1988
Article 16(3)	Issue of certificates	
Article 18	Form of certificates	

² When the obligation does not derive from the International Convention on Load Lines, 1966, but solely from the Protocol of 1988 relating thereto, this is indicated in the "Comments" column.

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Article 19	Duration and validity of certificates	amended by LL PROT 1988
Article 23	Casualties	
Annex I, Reg. 1	Strength of hull	
	Strength and intact stability of ships	LL PROT 1988 only (annex I, Reg. 1)
Annex I, Reg. 2	Application – assignment of freeboard	amended by LL PROT 1988
Annex I, Reg. 2-1	Authorization of recognized organizations	LL PROT 88 only
Annex I, Reg. 8	Details of marking	
Annex I, Reg. 10	Stability information – approval	amended by LL PROT 1988
Annex I, Reg. 12	Doors	amended by LL PROT 1988
Annex I, Reg. 14	Cargo and other hatchways	amended by LL PROT 1988
Annex I, Reg. 15	Hatchways closed by portable covers and secured weathertight by tarpaulins and battening devices	amended by LL PROT 1988
Annex I, Reg. 16(1)	Hatchway coamings – reduced heights	amended by LL PROT 1988 (annex I, Reg. 14-1(2))
Annex I, Reg. 16(4)	Securing arrangements	amended by LL PROT 1988 (annex I, Reg. 16(6))
	Machinery space openings	LL PROT 1988 only (annex I, Reg. 17(4))
Annex I, Reg. 19	Ventilators	amended by LL PROT 1988
Annex I, Reg. 20	Air pipes	amended by LL PROT 1988
	Cargo ports and other similar openings – applicable national standards	LL PROT 1988 only (annex I, Reg. 21(5))

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Annex I, Reg. 22	Scuppers, inlets and discharges	amended by LL PROT 1988
Annex I, Reg. 25	Protection of the crew	amended by LL PROT 1988
Annex I, Reg. 27	Freeboards – types of ships	amended by LL PROT 1988
Annex I, Reg. 28	Freeboard tables	amended by LL PROT 1988
Annex I, Reg. 39	Minimum bow height and reserve buoyancy Lashing system	amended by LL PROT 1988 LL PROT 1988 only (annex I, Reg. 44(6))
COLREG 1972		
Annex I, Para. 14	Approval of construction of lights and shapes and the installation of lights on board	
Annex III, Para. 3	Approval of construction, performance and installation of sound signal appliances on board	
STCW 1978		
Article VI	Certificates	
Article VIII(3)	Dispensation – reporting	
Article IX(2)	Equivalents – reporting	
Regs. I/2.1, 2.2, 2.7 and 2.8	Issue and endorsements of certificates of competency	
Regs. I/10.1 and 10.2	Recognition of certificates and seafarers' knowledge of maritime legislation	
Reg. I/11.7	Availability – recent changes in national and international regulations	
Reg. I/13.3	Conduct of trials – safety, security and pollution prevention	
Regs. I/13.5 and 13.8.1	Results of trials – communication	
Reg. I/13.7	Respect for objections to trials	
Reg. I/13.8	Respect for objections by other Parties when authorizing ships to continue to operate with the system under trial	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. I/14.1	Responsibilities of companies	
Reg. IV/1.2	Application – appropriate certificates for radio operators	
Reg. V/1-1.7	Mandatory minimum requirements for the training and qualification of masters, officers and ratings on oil and chemical tankers	
Reg. V/1-2.5	Mandatory minimum requirements for the training and qualification of masters, officers and ratings on liquefied gas tankers	
Reg. V/2.1	Applicability of the requirements to domestic voyages	
Reg. V/2.10	Mandatory minimum requirements for the training and qualification of masters, officers, ratings and other personnel on passenger ships	
Reg. V/3.11	Issue of a Certificate of Proficiency to seafarers, related to IGF Code	
Reg. V/4.5	Issue of a Certificate of Proficiency in accordance with paragraphs 2 or 4 of the regulation	
Regs. VIII/1.1 and 1.2	Fitness for duty – preventing fatigue and preventing drug and alcohol abuse	
Regs. VIII/2.1 and 2.2	Watchkeeping arrangements and principles – direction and requirements	
SOLAS 1974		
Reg. I/4(b)	Exemptions – reporting	
Reg. I/5(b)	Equivalents – reporting	
Reg. I/6	Inspection and survey	in SOLAS PROT 1978 and SOLAS PROT 1988
Reg. I/7	Survey of passenger ships	in SOLAS PROT 1988
Reg. I/8	Survey of life-saving appliances and other equipment of cargo ships	in SOLAS PROT 1988

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. I/9	Survey of radio installations of cargo ships	in SOLAS PROT 1988
Reg. I/10	Survey of structure, machinery and equipment of cargo ships	in SOLAS PROT 1988
Reg. I/12	Issue of certificates	in SOLAS PROT 1988
	Issue and endorsement of certificates	in SOLAS PROT 1988
Reg. I/14	Duration and validity of certificates	in SOLAS PROT 1988
Reg. I/15	Forms of certificates and records of equipment	in SOLAS PROT 1988
Reg. I/18	Qualification of certificates	
Reg. I/21	Casualties	
Regs. II-1/1.1.2 and 1.2	Compliance with earlier requirements	
Reg. II-1/3-1	For ships which are not designed, constructed and maintained in compliance with the requirements of a classification society recognized by the Administration, the Administration should have in place applicable national standards which provide an equivalent level of safety.	
Reg. II-1/3-2	Approval of corrosion prevention systems of seawater ballast tanks	
Reg. II-1/3-2.4	Maintenance of the protective coating	
Reg. II-1/3-3.2	Approval of means of access to tanker bows	
Regs. II-1/3-4.1.2.2 and 3-4.1.3	Approval of emergency towing arrangements on tankers	
Reg. II-1/3-6.2.3	Means of access to cargo and other spaces – satisfaction of the Administration as well as survey	
Reg. II-1/3-6.4.1	Approval of Ship Structure Access Manual	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. II-1/3-8.3	Appropriate requirements for towing and mooring equipment	
Reg. II-1/3-9.1	Means of embarkation and disembarkation	
Reg. II-1/3-12	Determination of acceptable noise levels in machinery spaces	
Reg. II-1/4.3	Alternative methodologies – communication to IMO	
Reg. II-1/4.5	Beneficial or adverse effects of fitting structures as defined by the regulation	
Reg. II-1/5-1.1	Stability information to the Administration	
Reg. II-1/7-2.5	Acceptance of equalization devices and their controls	
Reg. II-1/13.9.2	Number and arrangements of doors with a device preventing unauthorized opening	
Reg. II-1/13.11.2	Special consideration for tunnels piercing watertight bulkheads	
Reg. II-1/15.2	Arrangement and efficiency of the means for closing any opening in the shell plating	
Reg. II-1/15.6	Special sanction for automatic ventilating side scuttles	
Reg. II-1/15.8.5	Material of pipes as referred to in the regulation	
Reg. II-1/16-1.1	Design, material and construction of all watertight closures, such as doors, hatches, side scuttles, gangway and cargo ports, etc.	
Reg. II-1/17-1.2	Indicators for closing appliances that could lead to flooding of a special category space or ro-ro space	
Regs. II-1/19.2 and 19.3	Damage control information – general and specific precautions	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. II-1/22.3	Authorization of such a watertight door that may be opened during navigation	
Reg. II-1/26.2	Consideration of reliability of single essential propulsion components	
Regs. II-1/29.1, 29.2.1 and 29.6.3	Steering gear	
Reg. II-1/29.17.2	Adoption of regulations on rudder actuators for tankers, chemical tankers and gas carriers	
Regs. II-1/35-1.3.7.2 and 35-1.3.9	Bilge pumping arrangements	
Reg. II-1/40.2	Electrical installations – ensuring uniformity	
Reg. II-1/42.1.3	Emergency source of electrical power in passenger ships	
Reg. II-1/43.1.3	Emergency source of electrical power in cargo ships	
Reg. II-1/44.2	Approval of automatically starting emergency generating sets	
Regs. II-1/45.3.3, 45.5.3, 45.5.4, 45.9.3, 45.10 and 45.11	Precautions against shock, fire and other hazards of electrical origin	
Regs. II-1/46.2 and 46.3	Additional requirements for periodically unattended machinery space	
Reg. II-1/53.1	Special requirements for machinery, boiler and electrical installations	
Regs. II-1/55.3, 55.4.1 and 55.6	Evaluation of the alternative design and arrangements and re-evaluation due to change of conditions	
Reg. II-1/55.5	Alternative design and arrangements – communication to IMO	
Reg. II-2/1.2.1	Approval of fire protection arrangements in existing ships	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Regs. II-2/1.6.2.1.2 and 1.6.6	Application of requirements for tankers	
Reg. II-2/4.2.2.5.1	Approval of material for oil fuel pipes and their valves and fittings	
Reg. II-2/4.3	Approval of gaseous fuel systems used for domestic purposes	
Reg. II-2/4.5.1.4.4	Installation of cargo oil lines where cargo wing tanks are provided	
Reg. II-2/4.5.3.3	Requirements for safety devices in venting systems	
Reg. II-2/4.5.5.2.1	Requirements for inert gas systems on chemical tankers	
Reg. II-2/4.5.6.3	Arrangements for inerting, purging or gas-freeing	see Reg. II-2/4.5.5.3.1
Reg. II-2/5.2.2.5	Positioning of controls for any required fire-extinguishing system in passenger ships	see Regs. II-2/8.3.3 and 9.5.2.3
Reg. II-2/5.2.3.1	Special consideration to maintaining the fire integrity of periodically unattended machinery spaces	
Reg. II-2/7.3.2	Initial and periodic tests	
Reg. II-2/7.6	Protection of cargo spaces in passenger ships	
Reg. II-2/8.3.4	Release of smoke from machinery spaces – passenger ships	
Reg. II-2/9.2.2.1.5.1	Approval of equivalent means of controlling and limiting a fire on ships designed for special purposes	
Reg. II-2/9.2.2.3.1	Fire integrity of bulkheads and decks in ships carrying more than 36 passengers	
Regs. II-2/9.2.2.4.4, 9.2.3.3.4 and 9.2.4.2.4	Fire integrity of bulkheads and decks	see Reg. II-2/11.2

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. II-2/9.3.4	Approval of structural fire protection details, taking into account the risk of heat transmission	
Reg. II-2/9.5.2.4	Protection of openings in machinery space boundaries	
Reg. II-2/10.2.1.2.1.3	Provisions for fixed water fire-extinguishing arrangements for periodically unattended machinery spaces	
Reg. II-2/10.2.1.2.2.1	Ready availability of water supply	
Reg. II-2/10.2.3.1.1	Approval of non-perishable material for fire hoses	
Reg. II-2/10.2.3.2.1	Number and diameter of fire hoses	
Reg. II-2/10.3.2.1	Arrangement of fire extinguishers	
Reg. II-2/10.6.1.1	Type approval of automatic sprinkler, fire detection and fire alarm system	
Reg. II-2/10.6.3.2	Approval of fire-extinguishing arrangement for flammable liquid lockers	
Reg. II-2/10.7.1.2	Fixed gas fire-extinguishing systems for general cargo	
Reg. II-2/10.7.1.4	Issue of an Exemption Certificate	
Reg. II-2/13.3.1.4	Provision of means of escape from, or access to, radiotelegraph stations	
Reg. II-2/13.3.2.5.1	Lighting or photoluminescent equipment to be evaluated, tested and applied in accordance with the FSS Code	
Reg. II-2/13.3.2.6.2	Normally locked doors that form part of an escape route – quick release mechanisms	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. II-2/13.5.1	Means of escape on passenger ships from special category and open ro-ro spaces to which any passengers carried can have access	
Regs. II-2/17.4.1 and 17.6	Evaluation and approval of the engineering analysis for alternative design and arrangements for fire safety	
Reg. II-2/17.5	Alternative design and arrangements for fire safety – communication of information to IMO	
Reg. II-2/19.4	Provision of document of compliance	
Reg. II-2/20.4.1	Provision and approval of fixed fire detection and fire alarm systems	
Reg. II-2/20.6.1.4.2	Adverse effect as referred to in the regulation – approval of stability information	
Reg. II-2/21.5.2	Alternate space for medical care	
Reg. III/4	Evaluation, testing and approval of life-saving appliances and arrangements	
Reg. III/5	Production tests for life-saving appliances	
Reg. III/20.8.1.2	Approval of servicing stations	
Reg. III/20.8.5	Extension of liferaft service intervals – notifying IMO	
Regs. III/20.11	Maintenance, thorough examination, operational testing, overhaul and repair of lifeboats, rescue boats and fast rescue boats, launching appliances and release gear	
Reg. III/26.2.4	Approval of liferafts on ro-ro passenger ships	
Regs. III/26.3.1 and 26.3.2	Approval of fast rescue boats and their launching appliances on ro-ro passenger ships	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. III/28	Approval of helicopter landing and pick-up areas on ro-ro passenger ships	
Regs. III/38.3, 38.4.1 and 38.6	Evaluation of the alternative design and arrangements and re-evaluation due to change of conditions	
Reg. III/38.5	Alternative design and arrangements – communication to IMO	
Reg. IV/3.3	Exemptions – reporting to IMO	
Reg. IV/14.1	Type approval of radio equipment	
Reg. IV/15.5	Ensuring that radio equipment is maintained	
Reg. IV/16.1	Radio personnel	
Reg. IV/17	Radio records	
Reg. V/1.4	Application – determination of the scope of application of specific regulations to certain categories of ships	
Reg. V/3.3	Exemptions and equivalents – reporting to IMO	
Reg. V/14	Ships' manning	
Reg. V/16	Maintenance of equipment	
Reg. V/17	Electromagnetic compatibility	
Reg. V/18.1	Type approval of navigational systems and equipment and voyage data recorder	
Reg. V/18.5	Requirement for quality control system at manufacturers	
Reg. V/23.3.3.1.3	Pilot transfer arrangements	
Regs. VI/3.1 and 3.2	Provision of equipment for oxygen analysis and gas detection and training of crews in their use	
Reg. VI/5.6	Approval of Cargo Securing Manual	
Reg. VI/6	Acceptability for shipment	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. VI/9.2	Grain loading information	
Reg. VII/5	Approval of Cargo Securing Manual	
Reg. VII/15.2	Warships – INF cargo	
Reg. VIII/4	Approval of design, construction and standards of inspection and assembly of reactor installations	
Reg. VIII/6	Ensuring radiation safety	
Reg. VIII/7(a)	Approval of safety assessment	
Reg. VIII/8	Approval of operating manual	
Reg. VIII/10(f)	Issue of certificates	
Reg. IX/4.1	Issue of Document of Compliance (DOC)	
Reg. IX/4.3	Issue of Safety Management Certificate (SMC)	
Reg. IX/6.1	Periodic verification of the safety management system	
Reg. XI-1/1	Authorization of recognized organizations	
Reg. XI-1/2	Enhanced surveys	
Reg. XI-1/3.5.4	Ship identification number – approval of method of marking	
Reg. XI-1/3-1.2	Registered owner identification number	
Reg. XI-1/5.3	Issue of Continuous Synopsis Record (CSR)	
Reg. XI-1/5.4.2	Amendments to CSR	
Reg. XI-1/5.4.3	Authorization and requirement to amend CSR	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. XI-1/5.8	Requirement for former flag State to send CSR to new flag State	
Reg. XI-1/5.9	Appending previous CSR to new CSR	
Reg. XI-1/6	Investigations of marine casualties and incidents	
Reg. XII/8.1	Endorsement of booklet required by Reg. VI/7.2	
Reg. XII/9.2	Approval of bilge well high water level alarms	
Reg. XII/11.3	Loading instrument – approval of software for stability calculations	
MARPOL		
Articles 4(1) and 4(3)	Violation	
Article 6(4)	Detection of violations and enforcement of the Convention – investigations	
Article 12(1)	Casualties to ships – investigations	
Annex I		
Reg. 2.6.2	Application – an oil tanker delivered on or before 1 June 1982 engaged in specific trades: agreement with port States	
Reg. 3.3	Exemptions and waivers – reporting	
Reg. 4.3	Exceptions – discharge of substances containing oil for the purpose of combating pollution incidents	
Reg. 5.2	Equivalents – reporting	
Reg. 6	Surveys	
Reg. 7	Issue or endorsement of certificate	
Reg. 9	Form of certificate	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. 10.9.3	Transfer of flag	
Reg. 12A.12	Oil fuel tank protection – approval of the design and construction of ships	
Reg. 14.3	Oil filtering equipment – volume of oil bilge holding tank	
Reg. 14.4	Oil filtering equipment – ships of less than 400 gross tonnage	
Regs. 14.6 and 14.7	Oil filtering equipment – approval	
Reg. 15.6.2	Control of discharge of oil – ships of less than 400 gross tonnage: design approval	
Reg. 17.1	Approval of an electronic record book concerning Oil Record Book Part I	
Regs. 18.8.2, 18.8.3 and 18.8.4	Requirements for product carriers of 40,000 tonnes deadweight and above – arrangement and operation, approval of oil content meter, clean ballast tank operational manual	
Reg. 18.10.1.1	Segregated ballast tanks – oil tanker delivered on or before 1 June 1982 having special ballast arrangements: approval	
Reg. 18.10.1.2	Segregated ballast tanks – oil tanker delivered on or before 1 June 1982 having special ballast arrangements: agreement with port States	
Reg. 18.10.3	Segregated ballast tanks – oil tanker delivered on or before 1 June 1982 having special ballast arrangements: communication to IMO	
Reg. 20.8.1	Double hull and double bottom requirements for oil tankers delivered before 6 July 1996 – communication to IMO	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. 21.8.1	Prevention of oil pollution from oil tankers carrying heavy grade oil as cargo – communication to IMO	
Reg. 23.3.1	Accidental oil outflow performance – calculation of mean oil outflow parameter	
Reg. 25.5	Hypothetical outflow of oil – information to IMO on accepted arrangements	
Reg. 27.3	Intact stability – approval of written procedures for liquid transfer operation	
Reg. 28.3.4	Subdivision and damage stability – sufficient stability during flooding	
Reg. 28.6.3	Subdivision and damage stability – issuing a document of approval for the stability instrument	
Reg. 29.2.1	Slop tanks – approval	
Reg. 30.6.5.2	Pumping, piping and discharge arrangement – establishment of requirements	
Reg. 30.7	Pumping, piping and discharge arrangement – positive means of loading, transporting or discharging cargo	
Regs. 31.2 and 31.4	Oil discharge monitoring and control system – approval	
Reg. 32	Oil/water interface detector – approval	
Reg. 33.1	Crude oil washing requirement – compliance with requirement	
Reg. 33.2	Crude oil washing requirements – establishment of requirements	
Reg. 35.1	Crude oil washing operations – Operations and Equipment Manual	
Reg. 36.1	Approval of an electronic record book concerning Oil Record Book Part II	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. 36.9	Oil Record Book Part II – development of Oil Record Book for ships of less than 150 gross tonnage	
Reg. 37.1	Shipboard oil pollution emergency plan – approval	
Reg. 38.9.2	Reception facilities within special areas: Antarctic area – sufficient capacity	
Reg. 38.10	Reception facilities – notification on alleged inadequacies of port reception facilities	
Reg. 39.2.2	Special requirements for fixed or floating platforms – approval of record form	
Reg. 41.1	Approval of oil tankers' ship-to-ship (STS) operations plan	
Annex II		
Reg. 3.1.3	Exceptions – approval of discharge of noxious liquid substances (NLS) for the purpose of combating pollution incidents	
Reg. 4.1.2	Exemptions – communication to IMO on relaxations	
Reg. 4.3.4	Exemptions – communication to IMO	
Reg. 4.4.5	Exemptions – communication to IMO	
Reg. 5.1	Equivalents – substitution of operational method	
Reg. 5.2	Equivalents – communication to IMO on alternatives	
Regs. 5.3.4 and 5.3.5	Equivalents – pumping and piping arrangement, approval of manual	
Reg. 6.3	Establishment of tripartite agreements – notifying IMO	
Reg. 8	Surveys	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. 9	Issue or endorsement of certificates	
Reg. 10.7	Expiry date of existing certificate	
Reg. 10.9.3	Transfer of flag	
Reg. 11.2	Design, construction, equipment and operations – establishment of appropriate measures	
Reg. 12.5	Pumping, piping, unloading arrangements and slop tanks – approval of pumping performance test	
Reg. 13.3	Control of discharges of residues of NLS – approval of ventilation procedure	
Reg. 13.5	Control of discharges of residues of NLS – approval of tank washing procedure	
Reg. 14.1	Procedures and arrangements manual – approval	
Reg. 15.1	Approval of an electronic record book concerning Cargo Record Book	
Reg. 17.1	Shipboard marine pollution emergency plan for NLS – approval	
Reg. 18.7	Notification of alleged inadequacies of port reception facilities	
Annex IV		
Reg. 4	Surveys	
Reg. 5	Issue or endorsement of certificates	
Reg. 7	Form of certificate	
Reg. 8.8.2	Transfer of flag	
Reg. 9.1	Approval of sewage systems	
Reg. 9.2	Approval of sewage systems (passenger ships operating in special areas)	
Reg. 11.1.1	Approval of rate of discharge	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. 12.3	Notification of alleged inadequacies of port reception facilities	
Annex V		
Reg. 6.3.2	Sufficient capacity for the retention of all garbage on board ships before entering the Antarctic area	
Reg. 8.4	Notification of alleged inadequacies of port reception facilities	
Reg. 10.3	Approval of an electronic record book concerning Garbage Record Book	
Annex VI		
Regs. 3.2 and 3.3.2	Exceptions and exemptions	
Regs. 4.2 and 4.4	Equivalents and communication to IMO	
Reg. 5	Surveys and certification	
Reg. 6	Issue or endorsement of certificates and Statements of Compliance related to fuel oil consumption reporting	
Reg. 8	Form of Certificates and Statements of Compliance related to fuel oil consumption reporting	
Regs. 9.1 and 9.10	Duration and validity of certificates	
Reg. 9.12	Duration and validity of Statement of Compliance related to fuel oil consumption reporting	
Reg. 9.9.3	Transfer of flag	
Reg. 11.4	Detection of violations and enforcement – investigations and communication to the Party and IMO	
Regs. 12.6, 13.5.3 and 14.6	Approval of an electronic record book concerning the required entries for discharge, transfers and other operations as required under Annex VI	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Regs. 13.1.1.2 and 13.1.2.2	Nitrogen oxides – acceptance of identical replacement and alternative control measures	
Reg. 13.2.2	Acceptance of installation of Tier-II engine in lieu of Tier-III engine where Tier-III engine cannot be accommodated	
Reg. 13.5.2.2	Combined nameplate diesel engine – application as referred to in the paragraph	
Reg. 13.7.2	Approved method not commercially available	
Reg. 15.5	Volatile organic compounds (VOCs) – approval of vapour collection systems	
Reg. 15.6	VOC management plan – approval	
Reg. 16.6.1	Shipboard incineration – approvals	
Reg. 17.4	Reception facilities unavailable or inadequate – communication to IMO	
Reg. 19.6	Information regarding decision to allow, suspend, withdraw or decline application of Reg. 19.4 on waiving the requirement for compliance with Regs. 20 and 21 – communication to the Organization	Refer to Reg. 19.4
Reg. 20.1	Verification of the attained Energy Efficiency Design Index (EEDI)	
Reg. 22A.7	Verification of the ship fuel oil consumption data	
Reg. 22A.9	Transfer of the reported data to the IMO Ship Fuel Oil Consumption Database	
Reg. 23	Cooperation with other parties to promote development and transfer of technology and exchange of information relating to the improvement of energy efficiency of ships	
Appendix IV, Para. 1	Type approval as referred to in the paragraph	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Appendix VI, Paras. 1.2, 2.1 and 3.1	Fuel verification procedure – management and sample delivery	
Res. MSC.133(76), as amended	Technical provisions for means of access for inspections	
Para. 3.7	Vertical or spiral ladders – acceptance	
Para. 3.9.7	Other means of access – approval and acceptance	
RO Code		
Part 1/4.2	Delegation of authority	
Part 1/5	Communication to IMO – a list of recognized organizations (ROs)	
Part 2/8	Authorization of RO	
Part 3/7.1.1	Verification that ROs fulfil the requirements of the RO Code as per part 2/2.1	
ISM Code		
Para. 13.2	Issue of Document of Compliance (DOC)	
Para. 13.4	Annual verification (DOC)	
Para. 13.5	Withdrawal of DOC	
Para. 13.7	Issue of Safety Management Certificate (SMC)	
Para. 13.8	Intermediate verification (SMC)	
Para. 13.9	Withdrawal of SMC	
Para. 14.1	Issue of Interim DOC	
Para. 14.2	Issue of Interim SMC	
Para. 14.4	Verification required for issue of Interim SMC	
Para. 15.1	Verification – acceptance of procedures	
Para. 16	Forms of certificates	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
INF Code		
Para. 1.3.2	Issue of certificate	
Para. 2.1	Damage stability (INF 1 ship)	
Para. 3.1	Fire safety measures (INF 1 cargo)	
Para. 4.1.3	Temperature control of cargo spaces (INF 1, 2 and 3 ships)	
Para. 6.2	Safe stowage and securing – approval of principles	
Para. 7.1	Electrical power supplies (INF 1 ship)	
Chapter 8	Radiological protection	
Chapter 9	Management and training	
Para. 10.2	Shipboard emergency plan – approval	
Noise Code		
Para. 1.3.1	Application of the Code	
Para. 1.3.7	Special consideration for ships designed for and employed on voyages of short duration, ³ or on other services involving short periods of operation of the ship	
Para. 1.3.9	Repairs, alterations and modifications of a major character and outfitting of existing ships – determination of application of the Code	
Para. 2.1.1	Acceptance of equivalent standard for sound level meter	
Para. 2.1.2	Acceptance of equivalent standard for octave filter set	
Para. 3.3.9	Agreement on a process to simulate the operation of the dynamic positioning (DP) thruster system	

³ Voyages of short duration: Voyages where the ship is not generally underway for periods long enough for seafarers to require sleep, or long off-duty periods, during the voyages (Noise Code, para. 1.4.34).

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para. 6.2.2	Acceptance of laboratory tests of airborne sound insulation properties	
Para. 7.4	Description of a warning notice comprising symbol and supplementary sign in working language	
FSS Code		
Ch.1, Para. 4	Use of toxic extinguishing media	
Ch.4, Para. 2	Type approval of fire extinguishers	
Ch.4, Para. 3.1.1.2	Determining equivalents of fire extinguishers	
Ch.4, Para. 3.2.2.2	Approval of foam concentrate	
Ch.5, Para. 2.1.1.4	Containers for the storage of fire-extinguishing medium, etc.	
Ch.5, Para. 2.1.2.1	System flow calculations	
Ch.5, Para. 2.1.2.3	Spare parts	
Ch.5, Para. 2.3	Steam systems	
Ch.5, Para. 2.4	Equivalent systems – approval	
Ch.6, Para. 1	Specific acceptance of fixed foam fire-extinguishing systems used for cargo pump-rooms of chemical tankers carrying liquid cargoes referred to in regulation II-2/1.6.2 of the Convention	
Ch.6, Paras. 3.1.2 and 4.1.1	Foam concentrates – approval	
Ch.6, Paras. 3.1.3 and 3.4.1	System test of fixed high-expansion foam fire-extinguishing systems	
Ch.6, Para. 4.2.1	Acceptance of means for proving effective distribution of the foam	
Ch.7, Para. 2.1	Fixed pressure water-spraying fire-extinguishing systems – approval	
Ch.7, Para. 2.2	Equivalent systems – approval	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Ch.7, Para. 2.3	Fixed pressure water-spraying fire-extinguishing systems for cabin balconies – approval	
Ch.7, Para. 2.4	Fixed water-based firefighting system for ro-ro space, vehicle spaces and special category spaces – approval	
Ch.8, Para. 2.1.2	Equivalent sprinkler systems – approval	
Ch.9, Para. 2.3.1.2	Sensitivity limits of smoke detectors in other spaces	
Ch.9, Para. 2.3.1.3	Heat detector temperature limits	
Ch.9, Para. 2.3.1.7	Fixed fire detection and fire alarm systems for cabin balconies – approval	
Ch.9, Para. 2.4.1.3	Limiting the number of enclosed spaces included in each section	
Ch.9, Para. 2.5.2	Testing on ships with self-diagnostic system – determination of requirements	
Ch.10, Para. 2.1.2	Sequential scanning – overall response time	
Ch.10, Para. 2.2.2	Extractor fans – overall response time	
Ch.10, Para. 2.3.1.1	Means to isolate smoke accumulators	
Ch.11, Para. 2.1	Low-location lighting – approval	
Ch.12, Para. 2.2.2.1	Approval of heating arrangement of the diesel engine cooling water or lubricating oil system if the room for the diesel driven power source is not heated	
Ch.14, Para. 2.2.1.4	Foam concentrate supplied on board for cargoes intended to be carried – approval of additional arrangements if foam is not effective or is incompatible	
Ch.14, Para. 2.2.2.1	Medium expansion ratio foam – application rate, etc.	
Ch.15, Para. 2.2.1.1	Inert gas systems – approval	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Ch.17, Para.3.7 and 3.8	Manufacture and test of foam fire-fighting system and its components, including deck integrated foam nozzles	
2010 FTP Code		
Para. 4.2	Recognition of testing laboratories	
Paras. 5.1.1 and 5.1.2	Approval of products in accordance with established approval procedures or authorization of competent authorities to issue approvals	
Para. 5.2.2	Requirement for manufacturers to have a quality control system audited by a competent authority, or, alternatively, use of final product verification procedures as referred to in the paragraph	
Para. 7.2	Use of equivalents and modern technology – communication of information to the Organization	
Annex 1, part 3/3.3	Structural core of a material other than steel or aluminium alloy – decision on limits for rise in temperature	
Annex 1, part 3 appendix 1, Para. 2.3.2.9	Insulation system of "A" class door – approval to the same standard as that which the door is intended to achieve	
LSA Code		
Para. 1.2.3	Determine the period of acceptability of life-saving appliances (LSAs) subject to deterioration with age	
Para. 4.4.1.2	Endorsement of lifeboat affixed approval plate	
Para. 4.5.4	Fixed two-way VHF radiotelephone apparatus – sheltered space	
Para. 5.1.1.4	Rescue boats – combination of rigid and inflatable construction	
Para. 5.1.3.8	Rubbing strips on inflated rescue boats	
Paras. 6.1.2.9 and 6.1.2.10	Lowering speed of a fully equipped liferaft	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para. 6.2.1.2	Marine evacuation systems (MESs) – strength and construction of passage and platform	
Para. 7.2.2.1	Broadcast of messages from other places on board	
Res.MSC.402(96)	Requirements for maintenance, thorough examination, operational testing, overhaul and repair of lifeboats and rescue boats, launching appliances and release gear	
Para. 7.2	Availability to the information regarding authorized service providers	
Para. 7.4.1	Issuance of an authorization document upon initial audit	
Para. 7.4.2	Periodic audit and if not in compliance, withdrawal of the authorization of service providers	
1994 HSC Code		
Para. 1.3.5	Verification	
Para. 1.4.29	Determination of "maximum operational weight"	
Para. 1.5.1.2	Specifying intervals for renewal surveys	
Para. 1.5.4	Inspection and survey	
Para. 1.5.5	Recognized organizations and nominated surveyors	
Para. 1.5.7	Completeness of survey and inspection	
Para. 1.8.1	Issue/endorsement of certificate	
Para. 1.9.2	Issue of permit to operate	
Para. 1.11.2	Equivalents – reporting	
Para. 1.12.1	Adequate information and guidance provided to the craft by the company	
Paras. 1.13.2 and 1.13.3	Novel designs	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para. 1.14.1	Investigation reports to IMO	
Paras. 2.7.4 and 2.14.2	Inclining and stability information – approval	
Para. 3.4	Determination of service life	
Para. 3.5	Design criteria	
Para. 4.8.3	Documentation and verification of evacuation time	
Para. 7.5.6.3	Safe outlets for exhaust fans in fuel tank spaces	
Para. 7.7.2.3.2	Sensitivity limits of smoke detectors	
Para. 7.7.6.1.5	Additional quantity of fire-extinguishing medium	
Para. 7.7.6.1.12	Containers for the storage of fire-extinguishing medium, etc. – design	
Para. 7.7.8.5	Maximum length of fire hoses	
Para. 8.1	Approval and acceptance of LSA and arrangements	
Para. 8.9.1.2	Approval of novel LSAs or arrangements	
Para. 8.9.1.3	Notifying the Organization	
Para. 8.9.7.1.2	Approval of servicing stations	
Para. 8.9.7.2	Deployment intervals of MES	
Para. 8.9.11	Novel LSAs or arrangements	
Para. 8.9.12	Notifying the Organization	
Para. 10.2.4.9	Flexible oil fuel pipes	
Para. 10.3.7	Internal diameters of suction branches	
Para. 12.6.2	Specified voltages to earth	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para. 13.1.2	Navigational equipment and its installation	
Para. 13.13	Approval of systems, equipment and performance standards	
Para. 14.3.3	Exemptions – reporting	
Para. 14.13.1	Type approval	
Para. 14.14.5	Ensuring maintenance	
Para. 14.15	Radio personnel	
Para. 14.16	Radio records	
Para. 15.3.1	Operating station – field of vision	
Para. 15.7.2	Ensuring clear view through windows	
Para. 17.8	Acceleration and deceleration	
Para. 18.1.4	Determining maximum allowable distance from a base port or place of refuge	
Para. 18.2	Craft documentation	
Paras. 18.3.1 to 18.3.7	Training and qualifications	
Chapter 19	Inspection and maintenance requirements	
2000 HSC Code		
Para. 1.3.7	Verification	
Para. 1.4.37	Determination of "maximum operational weight"	
Para. 1.5.1.2	Specifying intervals for renewal surveys	
Para. 1.5.4	Inspection and survey	
Para. 1.5.5	Recognized organizations and nominated surveyors	
Para. 1.5.7	Completeness of survey and inspection	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para. 1.7.3	Investigation to determine the need of survey	
Para. 1.8.1	Issue/endorsement of certificate	
Para. 1.9.1.1.4	Transit voyage – arrangements satisfactory	
Para. 1.9.2	Issue of permit to operate	
Para. 1.9.7	Worst intended conditions and operational limitations	
Para. 1.11.2	Equivalents – reporting	
Para. 1.12.1	Adequate information and guidance provided to the craft by the company	
Paras. 1.13.2 and 1.13.3	Novel designs	
Para. 1.14.1	Investigation reports to IMO	
Para. 2.9.3	Verification of load line marks	
Paras. 2.7.5 and 2.14.2	Inclining and stability information – approval	
Para. 3.4	Determination of service life	
Para. 3.5	Design criteria	
Para. 4.2.2	Approval of public address system	
Para. 4.8.3	Documentation and verification of evacuation time	
Para. 4.8.10	Evacuation demonstration	
Para. 7.3.3	Approval of structural fire protection details	
Para. 7.5.6.3	Safe outlets for exhaust fans in fuel tank spaces	
Para. 7.7.1.1.8	Limitation of number of enclosed spaces in each section	
Para. 7.7.1.3.2	Sensitivity limits of smoke detectors	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para. 7.7.3.3.6	Additional quantity of fire-extinguishing medium	
Para. 7.17.1	Reduced requirements for cargo craft of less than 500 GT	
Para. 7.17.3.1.5	Water spray system – approval	
Para. 7.17.3.3	Smoke detection systems – equivalent protection	
Para. 7.17.4	Issue of Document of Compliance for craft carrying dangerous goods	
Para. 8.1	Approval and acceptance of LSA and arrangements	
Para. 8.9.7.1.2	Approval of servicing stations	
Para. 8.9.8	Rotational deployment of marine evacuation systems	
Para. 8.9.11	Extension of life raft service intervals – notification	
Para. 8.11	Helicopter pick-up areas – approval	
Para. 10.2.4.9	Flexible oil fuel pipes	
Para. 10.3.7	Internal diameters of suction branches	
Para. 12.6.2	Specified voltages to earth	
Para. 13.1.2	Shipborne navigational systems and equipment and voyage data recorders and their installation	
Para. 13.17	Type approval	
Para. 14.3.3	Exemptions – reporting	
Para. 14.4.2	GMDSS Identities – suitable arrangements	
Para. 14.14.1	Type approval	
Para. 14.15.5	Ensuring maintenance	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para. 14.16	Radio personnel	
Para. 14.17	Radio records	
Para. 15.3.1	Operating station – field of vision	
Para. 15.7.2	Ensuring clear view through windows	
Para. 17.8	Acceleration and deceleration	
Para. 18.1.4	Determining maximum allowable distance from a base port or place of refuge	
Para. 18.2	Craft documentation	
Paras. 18.3.1 to 18.3.7	Training and qualifications	
Chapter 19	Inspection and maintenance requirements	
2011 ESP Code		
Annex A, part A Single-side skin bulk carriers		
Para. 3.3.4	Supervision on repair of cargo hatch securing system	
Para. 5.1.1	Cooperation on development of a specific survey programme	
Para. 5.1.4	Advice on the maximum acceptable structural diminution levels	
Para. 5.2.2	Agreement on provisions for proper and safe access	
Para. 9.1.2	Evaluation of survey report	
Para. 9.2.3	Endorsement on condition evaluation report	
Annex 4B, Para. 1	Cooperation on development of a survey programme	
Annex 5, Para. 3.1	Certification of a firm engaged in thickness measurement	
Annex 13, Para. 3	Approval of materials and welding	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Annex A, part B Double-side skin bulk carriers		
Para. 3.3.4	Supervision on repair of cargo hatch securing system	
Para. 5.1.1	Cooperation on development of a specific survey programme	
Para. 5.1.4	Advice on the maximum acceptable structural diminution levels	
Para. 5.2.2	Agreement on provisions for proper and safe access	
Para. 9.1.2	Evaluation of survey report	
Para. 9.2.3	Endorsement on condition evaluation report	
Annex 4B, Para. 1	Cooperation on development of a survey programme	
Annex 5, Para. 3.1	Certification of a firm engaged in thickness measurement	
Annex 11, Para. 3	Approval of materials and welding	
Annex B, part A Double hull oil tankers		
Para. 5.1.1	Cooperation on development of a specific survey programme	
Para. 5.1.4	Advice on the maximum acceptable structural diminution levels	
Para. 5.2.1.1	Agreement on provisions for proper and safe access	
Para. 9.1.3	Evaluation of survey report	
Para. 9.2.3	Endorsement on condition evaluation report	
Annex 7B	Cooperation on development of a survey programme	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Annex 8, Para. 3.1 Annex B, part B Oil tankers other than double hull oil tankers	Certification of a firm engaged in thickness measurement	
Para. 5.1.1	Cooperation on development of a specific survey programme	
Para. 5.1.4	Advice on the maximum acceptable structural diminution levels	
Para. 5.2.1.1	Agreement on provisions for proper and safe access	
Para. 8.1.3	Evaluation of survey report	
Para. 8.2.3	Endorsement on condition evaluation report	
Annex 6B	Cooperation on development of a survey programme	
Annex 7, Para. 3.1	Certification of a firm engaged in thickness measurement	
Res. 4 of the 1997 SOLAS Conference		
Section 5	Dimension and selection of weld connections and materials	
Res. MSC.168(79)	Standards and criteria for side structures of bulk carriers of single-side skin construction	
Para. 2.1	Applicable national standards	
Para. 4.4	Applicable national standards	
Para. 4.5	Applicable national standards	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
NOx Technical Code 2008		
Chapter 1	Assumption of full responsibility for the approval of documentation as required by the Code together with the acceptance of procedures and alternatives as permitted by the Code	
Chapter 2	Issue of the Engine International Air Pollution Prevention Certificate, arrangements for the parent engine test and pre-certification of engines, usage of the engine family/engine group concepts and approval of the technical file and any subsequent amendments	
Chapter 2, Para. 2.2.5.1	Approval and pre-certification of the combined engine/NOx-reducing device	
Chapter 3	Acceptance of modification of engine speed at E2 test cycle 25% power mode point	
Chapter 4	Assignment of engine family/engine group status, as applicable, and selection of associated parent engine; acceptance of conformity of production arrangements; adjustment of parent engine relative to engine group reference values	
Chapter 5	Ensuring that the parent engine test and subsequent calculations are undertaken in accordance with Code requirements and that, where alternatives are applied, these meet the Code's equivalency requirements and any deviations are within the permitted margins; filing of parent engine test report	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Chapter 6	Onboard NO _x verification procedures are in accordance with the provisions of the Code and are adequate to provide verification that an engine, as so surveyed, will be in accordance with the applicable Annex VI requirements; acceptance of aspects within onboard NO _x verification procedure – simplified measurement method if applicable; approval of aspects within onboard NO _x verification procedure – direct measurement and monitoring method including the onboard monitoring manual, if applicable	
Chapter 6, Para. 6.2.2	Approval of an electronic record book concerning the entries required under the Code	
Chapter 7	Installation of approved method – amendment of IAPP Certificate	
Appendix IV	Verification that the calibration of all necessary measurement equipment meets Code requirements	
Appendix VII	Aspects to be included within onboard NO _x verification procedure – parameter check method	
Appendix VIII	Approval of alternative exhaust gas measurement principles	
IBC CODE		
Para. 1.1.6	Prescribe preliminary suitable conditions for carriage of products not listed in chapters 17 or 18	
Para. 1.4.2	Equivalents – communication to IMO	
Section 1.5	Survey and certification	
Para. 1.5.4	Issue or endorsement of certificate	
Para. 2.2.2	Intact stability in all seagoing conditions	
Para. 2.2.3	Free surface effect in undamaged compartments	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para. 2.2.6.3	Issuing a document of approval for the stability instrument	
Section 2.4	Conditions of loading	
Para. 2.8.1.6	Standard of damage	
Para. 2.8.2	Standard of damage – alternative measures	
Para. 2.9.2.3	Residual stability during intermediate stages of flooding	
Para. 3.4.4	Access to spaces in the cargo area	
Para. 3.7.3.5	Alternative arrangements for draining the piping	
Para. 3.7.4	Relaxation for small ships	
Para. 5.1.6.4	Dimensions for flanges not complying with the standards	
Para. 5.2.2	Piping fabrication and joining details	
Para. 7.1.1	Cargo temperature control – general	
Para. 8.3.6	Devices to prevent the passage of flames into cargo tanks – requirements for the design, testing and locating	
Para. 10.1.3	Electrical installations – appropriate steps for uniform implementation	
Para. 10.1.4	Electric equipment, cables and wiring that do not conform to the standard	
Para. 10.1.5	Electrical equipment in hazardous locations	
Para. 11.2.2	Approval of an appropriate fire-extinguishing system	
Para. 11.3.2	Cargo area – additional arrangements	
Para. 11.3.5.3	Cargo area – minimum capacity of monitor	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para. 11.3.7	Minimum capacity of foam monitor for ships less than 4,000 tonnes deadweight	
Para. 11.3.13	Alternative provisions to deck foam system	
Para. 13.2.3	Exemption of toxic-vapour-detection equipment	
Para. 14.1.2	Protective equipment	
Chapter 15	Approval of special requirements for specific chemicals	
Para. 16.2.2	Cargo information – independent expert	
Para. 16.5.1	Stowage of cargo samples – approval	
Para. 18.2	Safety requirements – list of products to which the Code does not apply	
BCH CODE		
Para. 1.5.2	Equivalents – communication to IMO	
Section 1.6	Survey requirements	
Para. 1.6.4	Issue or endorsement of certificate	
Section 1.8	New products – establishing suitable conditions – notifying IMO	
Para. 2.2.1.2.2	Issuing a document of approval for the stability instrument	
Para. 2.2.4	Determination of the ability to survive flooding of the machinery space in Type 3 below 125 m in length	
Para. 2.2.5	Nature of alternative measures prescribed for small ships – duly noted on certificate	
Para. 2.9.5	Access to void spaces, cargo tanks, etc. – approval of smaller dimensions in special circumstances	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Section 2.10	Cargo piping systems – setting standards	
Section 2.12	Cargo hoses – setting standards	
Para. 2.14.2	High-velocity vent valves – type approval	
Para. 2.15.1	Cargo heating and cooling systems	
Para. 3.1.2(f)	Ventilation fans – approval	
Para. 3.14.1	Alternative provisions for ships dedicated to the carriage of specific cargoes	
Para. 3.14.2	Additional arrangements when foam is not effective or is incompatible	
Para. 3.14.7	Foam monitors on ships of less than 4,000 tonnes deadweight – minimum capacity	
Para. 3.15.2	Protection of cargo pump-rooms with fire-extinguishing systems – approval	
Para. 3.15.5	Products evolving flammable vapours – fire-extinguishing systems – approval	
Chapter IV	Approval of special requirements for specific chemicals	
IGC CODE		
Para. 1.1.2.3	Compliance with relevant requirements for existing ships	
Para. 1.1.6.1	Establishment of a Tripartite Agreement, where applicable	
Para. 1.1.6.3	Assessment form and a proposal for a new and complete entry – submission to IMO	
Para. 1.1.10	Implementation of the Code for ships operating in operation modes as referred to in the paragraph	
Para. 1.3.2	Equivalents – communication to IMO	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Paras. 1.4.1.1, 1.4.1.5, 1.4.6	Survey and certification	
Para. 1.4.1.3	Information of nominated surveyors or ROs – communication to IMO	
Para. 1.4.4	Issue or endorsement of certificate	
Para. 1.4.6.9.3	Flag changes – providing information regarding survey and certificate	
Para. 2.2.6.3	Issuing a document of approval for the stability instrument	
Para. 2.2.8	Damage survival capability investigation	
Para. 2.6.2	Alternative measures – approval	
Para. 4.3.6	Inspection/survey plan for the cargo containment system – approval	
Para. 4.6.2.5	Inspection/test means for secondary barrier – approval	
Para. 4.14.1.3	Methods to predict accelerations due to ship motion – approval	
Para. 4.18.1.5	Allowable stress for materials other than those covered by chapter 6 – approval	
Para. 4.18.2.6.3	Load distribution and sequence for longer periods – approval	
Para. 4.19.1.6.3	Design and construction of the heating system – approval	
Para. 4.20.3.3	Determining requirements of inspection for secondary barriers	
Para. 6.4.1.1	Requirements for metallic materials as referred to in tables 6.1 to 6.5 of IGC Code	
Para. 6.6.3	Requirements for testing and inspection of secondary barriers	
Para. 8.2.6	Setting and sealing of pressure relief valves (PRVs)	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para. 8.2.18	Adequacy of the vent system fitted on tanks	
Para. 10.2.4	Recognition of accredited testing authority or notified body	
Para. 11.4.1	Fixed dry chemical powder fire-extinguishing systems – approval	
Para. 13.6.16	Vapour concentration value at which alarm in primary space is set – approval	
Para. 15.6.1	Information on maximum allowable loading limits – approval	
Para. 17.14.7	Maximum set pressure of PRVs (Ethylene oxide) – approval	
Para. 17.18.24	Cargo handling plans – approval	
Para. 18.2.1	Cargo system operation manuals – approval	
STCW Code, part A		
Section A-I/10.2	Withdrawal of endorsement of recognition – communication to the Party that issued the certificate	
Section A-II/4.4	Determining the requirements of training, assessment and certification where there are no tables of competence for the support level	
Section A-III/4.4	Determining the requirements of training, assessment and certification where there are no tables of competence for the support level	
Section A-VIII/1.1	Fitness for duty – consideration of the danger posed by fatigue of seafarers	
Section A-VIII/1.5	Requirement for watch schedules to be posted in a standardized form	
Section A-VIII/1.7	Requirement for maintaining records of daily hours of rest of seafarers	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Section A-VIII/1.10	Establishment of a limit of alcohol concentration for personnel performing designated duties	
Section A-VIII/2.84	Principles to be observed in keeping radio watch – directing the attention of companies, masters and radio watchkeeping personnel to comply with provisions of part 4-3 to ensure that an adequate safety radio watch is maintained while the ship is at sea	
Res. MEPC.94(46), as amended	Condition assessment scheme	
Para. 4.1	Issue of instructions to the recognized organization for Condition Assessment Scheme (CAS) survey	
Para. 4.3	Requirement for oil tankers to remain out of service until Statement of Compliance is issued	
Para. 7.1.3	CAS surveyors' requirements	
Para. 11	Verification of CAS	
Para. 12	Reassessment of ships that have failed	
Para. 13	Issue, suspension or withdrawal of Statement of Compliance	
Para. 14	Communication to IMO	
Res. MSC.215(82), as amended	Performance standard for protective coatings for dedicated seawater ballast tanks in all types of ships and double-side skin spaces of bulk carriers	
Para. 3.2	Inspection of surface preparation and coating processes	
Para. 3.4.1	Coating technical file	
Para. 4.4.3	Technical Data Sheet and Statement of Compliance or Type Approval Certificate – verification	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Section 5	Coating system approval	
Para. 6.1.1	Verification of equivalent qualification of coating inspector	
Section 7	Verification requirements	
Res. MSC.288(87), as amended	Performance standard for protective coatings for cargo oil tanks of crude oil tankers	
Para. 3.2	Inspection of surface preparation and coating processes – review	
Para. 4.6.3	Verification of the Technical Data Sheet and Statement of Compliance or Type Approval Certificate for the protective coating system	
Para. 6.1.1	Equivalent to NACE Coating Inspector Level 2 and FROSIO Inspector Level III – verification	
Para. 7	Coating verification requirement as referred to in paragraph 7	
Res. MSC.289(87)	Performance standard for alternative means of corrosion protection for cargo oil tanks of crude oil tankers Verification of Technical File	
Para. 2.2		
Para. 4.2	Issuance of Type Approval Certificate for corrosion-resistant steel	
Para. 5	Survey(s) during the construction process to verify that approved corrosion-resistant steel has been applied to the area required	
Casualty Investigation Code		
Para. 1.3	Qualified person(s) for investigation	
Para. 6.2	Investigation into a very serious marine casualty	
IS Code, 2008	International Code on Intact Stability, 2008	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Part A, Section 1.2	Criteria demonstrating sufficient ship stability in critical stability situation in waves	
Part A, Para. 2.1.3	Stability criteria where anti-rolling devices are installed	
Part A, Section 2.3	Severe wind and stability criterion	
Part A, Chapter 3	Special criteria for certain types of ships	
IMSBC Code		
Section 1.3	Conditions for the carriage of cargoes not listed in the Code	
Section 1.5	Exemptions	
Para. 7.3.2	Approval of specially constructed or fitted cargo ships for confining cargo shift	
Para. 7.3.2.1	Approval of specially constructed cargo ships with permanent structural boundaries for confining cargo shift	
Para. 7.3.2.2	Approval of plan of special arrangements and details of the stability conditions on which the design has been based	
Para. 7.3.3.2	Approval of specially constructed cargo ships for dry powdery cargoes	
Appendix 1, Schedule for Aluminium Ferrosilicon Powder, UN 1395, and Aluminium Silicon Powder, Uncoated, UN 1398	Inspection and approval of gastight bulkheads between cargo spaces and engine-room	
Appendix 1, Schedule for Ferrosilicon, UN 1408, and Ferrosilicon	Inspection and approval of gastight bulkheads between cargo spaces and engine-room and approval of safety of bilge pumping arrangement	
Polar Code		

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Part I-A, Paras. 1.3.4 and 1.3.7	Issue of a Polar Ship Certificate to a ship as applicable	
Part I-A, Para. 3.3.1	Approval of materials of exposed structures in ships	
Part I-A, Para. 3.3.2	Approval of scantlings of category A, B and ice-strengthened category C ships	
Part I-A, Para. 6.3.2.3	Approval of materials of exposed machinery and foundations for ships intended to operate in low air temperature	
Part I-A, Para. 6.3.3	Approval of propeller blades, propulsion line, steering equipment and other appendages of category A, B and ice-strengthened category C ships	
Part I-A, Para. 7.3.3	Approval of materials of exposed fire safety systems for ships intended to operate in low air temperature	
Part II-A, Para. 1.1.3	Approval of operational requirements for a category A ship in relation to discharge of oil or oily mixtures from machinery spaces, as applicable	
Part II-A, Para. 2.1.3	Approval of operational requirements for category A and B ships carrying NLS, as applicable	
Part II-A, para 4.2.3	Approval of operational requirements for category A and B ships in relation to discharge of sewage, as applicable	
IGF Code		
Para. 2.3.3	Approval of alternative design	
Para. 6.4.1.8	Approval of an inspection/survey plan for the liquefied gas fuel containment system	
Para. 6.4.4.5	Approval of the methods for periodically checking effectiveness of secondary barriers	

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Para. 6.4.9.4.1.1	Approval of methods to predict accelerations due to ship motion	
Para. 6.4.12.1.1.5	Approval of allowable stresses for materials other than those covered by paragraph 7.4 of the Code	
Para. 6.4.12.2.5	Special consideration in the case of use of simplified dynamic loading spectra for estimation of the fatigue life	
Para. 6.4.12.2.6	Approval of load distribution and sequence for longer periods	
Para. 6.4.13.1.1.4.3	Approval of the containment system including design and construction of the heating system	
Para. 6.6.1	Certification and approval for the storage tanks to be used for compressed natural gas	
Para. 7.3.4.3	Consideration of the allowable stress for pipes made of materials other than steel	

Annex 3

SPECIFIC COASTAL STATE OBLIGATIONS

The following table contains a non-exhaustive list of obligations, including those obligations imposed when a right is exercised.

SPECIFIC COASTAL STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
SOLAS 1974		
Reg. IV/5	Provision of radio communication services and communication of information on such provision	
Reg. V/4	Navigation warnings	
Reg. V/7.1	Search and rescue services – necessary arrangements	
Reg. V/7.2	Search and rescue services – information to IMO	
Reg. V/8	Life-saving signals	
Reg. V/9	Hydrographic services	
Regs. VII/6.1 and 7-4.1	Reporting of incidents involving dangerous goods	
MARPOL		
Annex I		
Reg. 4.3	Exceptions – discharge of substances containing oil for the purpose of combating pollution incidents	
Annex II		
Reg. 3.1.3	Exceptions – approval of discharge of NLS for the purpose of combating pollution incidents	
Reg. 13.2.3	Control of discharges of residues of NLS – agreement and communication to IMO	

Annex 4

SPECIFIC PORT STATE OBLIGATIONS

The following table contains a non-exhaustive list of obligations, including those obligations imposed when a right is exercised.

SPECIFIC PORT STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
TONNAGE 1969		
Article 12	Inspection	
LL 1966 AND LL PROT 1988		
Article 21	Control	amended by LL PROT 1988
STCW 1978		
Article X	Control	
Reg. I/4	Control procedures	
SOLAS 1974		
Reg. I/6(c)	Ships not allowed to sail	
Reg. I/19	Control	
Reg. VI/7.3	Agreed plan for loading, unloading and stowage of solid bulk cargoes - lodged with the authority of the port State	
Reg. VII/4.2	Special list, manifest or stowage plan copy to be made available before departure	
Reg. VII/7-2.2	Documents relating to carriage of dangerous goods in solid form	
Reg. VIII/11	Special control for nuclear ships	
Reg. XI-1/4	Port State control on operational requirements	
Reg. XIV/3.2	Port State control of ships to which the chapter applies	

SPECIFIC PORT STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
MARPOL		
Article 5(2)	Certificates and special rules on inspection of ships – port State control	
Article 5(3)	Certificates and special rules on inspection of ships – denial of entry	
Article 6(2)	Detection of violations and enforcement of the Convention – inspection	
Article 6(5)	Detection of violations and enforcement of the Convention – inspection upon request – reporting	
Article 11 (1) (d)	Communication of information – a list of reception facilities including their location, capacity and available facilities and other characteristics	
Annex I		
Reg. 2.6.2	Application – an oil tanker delivered on or before 1 June 1982 engaged in specific trades: agreement with flag States	
Reg. 2.6.3	Application – an oil tanker delivered on or before 1 June 1982, engaged in specific trades: approval by port States	
Reg. 11	Port State control on operational requirements	
Reg. 17.7	Oil Record Book, Part I – inspection without undue delay	
Reg. 18.10.1.2	Segregated ballast tanks – oil tanker delivered on or before 1 June 1982 having special ballast arrangements: agreement with flag States	
Reg. 20.8.2	Denial of entry – communication to IMO	
Reg. 21.8.2	Denial of entry – communication to IMO	
Reg. 36.8	Oil Record Book, Part II – inspection without undue delay	
Regs. 38.1, 38.2, 38.3 and 38.4	Reception facilities outside special areas	
Regs. 38.5, 38.6 and 38.7	Reception facilities within special areas	
Reg. 38.9.1	Reception facilities within special areas: "Antarctic area"	

SPECIFIC PORT STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Annex II		
Reg. 4.3.3	Exemptions – approval of adequacy of reception facilities	
Reg. 13.6.1	Control of discharges of residues – endorsement of cargo record book	
Reg. 15.6	Cargo record book – inspection without undue delay	
Reg. 16.1	Measures of control	
Regs. 16.6 and 16.7	Measures of control – exemption granted (endorsement of cargo record book)	
Reg. 16.9	Port State control on operational requirement	
Regs. 18.1, 18.2, 18.4 and 18.6	Reception facilities and cargo unloading terminal arrangements	
Annex III		
Reg. 9	Port State control on operational requirements	
Annex IV		
Reg. 12.1	Provision of reception facilities	
Reg. 13.1	Provision of reception facilities for passenger ships in special areas	
Reg. 13.2	Measures taken regarding reception facilities for passenger ships in special areas – notifying the Organization	
Reg. 14	Port State control on operational requirements	
Annex V		
Reg. 6.3.1	Provision of reception facilities – all garbage from all ships departing en route to or arriving from the Antarctic area	
Reg. 8.1	Reception facilities	
Reg. 8.2	Reception facilities within special areas	

SPECIFIC PORT STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
Reg. 8.4	Measures taken regarding provision of reception facilities – notifying the Organization	
Reg. 9	Port State control on operational requirements	
Reg. 10.5	Inspection of Garbage Record Book or ship's official log-book	
Annex VI		
Reg. 5.3.3	Necessary assistance to the surveyor as referred to in the paragraph	
Reg. 10	Port State control on operational requirements – in relation to chapter 4 of Annex VI, limiting of inspection to verification that there are valid Statement of Compliance related to fuel oil consumption and International Energy Efficiency Certificate on board	
Regs. 15.2 and 15.3	Volatile organic compounds – approvals of vapour emission control systems and notifying IMO	
Reg. 17.1	Reception facilities as referred to in the paragraph	
Reg. 17.3 and 17.4	Ports and terminals where reception facilities are/are not available to manage and process the substances as referred to in regulation 17.1 – communication to IMO	
Reg. 18.1	Availability of fuel oils and communication to IMO	
Reg. 18.2.1	Ship not compliant with fuel oil standards	
Reg. 18.2.3	Action taken, including not taking control measures	
Reg. 18.2.5	Evidence of the non-availability of compliant fuel oil – communication to IMO	
Reg. 18.9	Authorities designated for register of local suppliers, bunker delivery note and sample, fuel oil quality, actions against fuel oil suppliers for non-compliance, informing the Administration of any ship receiving non-compliant fuel oil and communication to IMO of non-compliant fuel oil suppliers as referred to in the paragraph	
Reg. 18.10	Fuel oil quality – communication to Party or non-Parties and remedial action	

SPECIFIC PORT STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
IBC Code		
Para. 15.8.25.3	Certification verifying that the required piping separation has been achieved	
1994 HSC Code		
Para. 1.3.5	Acceptance of the Code	
Para. 1.5.6	Providing assistance to surveyors	
Para. 1.6	Design approval	
Para. 1.9.3	Operational conditions – Permit to Operate	
Para. 1.9.4	Port State control	
Para. 18.3.8	Training and qualifications	
2000 HSC Code		
Para. 1.3.7	Acceptance of the Code	
Para. 1.5.6	Providing assistance to surveyors	
Section 1.6	Design approval	
Para. 1.9.3	Operational conditions – Permit to Operate	
Para. 1.9.4	Port State control	
Para. 18.3.8	Training and qualifications	
Grain Code		
Para. 3.4	Document of authorization	
Para. 3.5	Document of authorization	
Section 5	Exemptions for certain voyages	
Para. 7.2	Stability requirements	

SPECIFIC PORT STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
IMSBC Code		
Section 1.3	Conditions for the carriage of cargoes not listed in the Code	
Section 1.5	Exemptions	
Para. 4.3.2	Concentrate of cargo which may liquefy – recognition of entity issuing the certificate or declaration of moisture content	
Para. 4.3.3	Procedures for sampling, testing and controlling – role of the competent authority as referred to in the paragraph	
IGC Code		
Para. 1.1.6.1	Establishment of a Tripartite Agreement, where applicable	
Para. 1.1.10	Implementation of the Code for ships operating in operation modes as referred to in the paragraph	
Para. 1.4.1.4	Ships not allowed to sail	

Annex 5

INSTRUMENTS MADE MANDATORY UNDER IMO CONVENTIONS

SOLAS 1974	Res. MSC.215(82), as amended	Reg. II-1/3-2.2
	Res. MSC.133(76), as amended	Reg. II-1/3-6.2.1
	Res. MSC.287(87)	Reg. II-1/3-10.3
	Res. MSC.288(87), as amended	Reg. II-1/3-11.3.1
	Res. MSC.289(87)	Reg. II-1/3-11.3.2
	Noise Code	Reg. II-1/3-12
	2008 IS Code (introduction and part A)	Reg. II-1/5.1
	FSS Code	Reg. II-2/3.22
	2010 FTP Code	Reg. II-2/3.23
	LSA Code	Reg. III/3.10
	Res. MSC.402(96)	Reg. III/3.25
	IMSBC Code	Reg. VI/1-2
	CSS Code, sub-chapter 1.9	Reg. VI/2.1
	Grain Code	Reg. VI/8.1
	IMDG Code	Reg. VII/1.1
	IBC Code	Reg. VII/8.1
	IGC Code	Reg. VII/11.1
	INF Code	Reg. VII/14.1
	ISM Code	Reg. IX/1.1
	1994 HSC Code	Reg. X/1.1
	2000 HSC Code	Reg. X/1.2
	RO Code	Reg. XI-1/1
	2011 ESP Code	Reg. XI-1/2
	Casualty Investigation Code (parts I and II)	Reg. XI-1/6
	Res. 4 of the 1997 SOLAS Conf.	Reg. XII/1.7
	Res. MSC.169(79)	Reg. XII/7.2
	Res. MSC.168(79)	Reg. XII/14
	III Code	Reg. XIII/2
	Polar Code (introduction and part I-A)	Reg. XIV/3.1
	IGF Code	Reg. II-1/57
MARPOL	RO Code	Annex I, Reg. 6
	Res. MEPC.94(46), as amended	Annex II, Reg. 8
	IBC Code	Annex I, Reg. 20.6
	BCH Code	Annex II, Reg. 1.4
	NO _x Technical Code 2008	Annex II, Reg. 1.4
	III Code	Annex VI, Reg. 5.3.2
	Polar Code (introduction and part II-A)	Annex I, Reg. 44
		Annex II, Reg. 19
		Annex III, Reg. 10
		Annex IV, Reg. 15
		Annex V, Reg. 11
		Annex VI, Reg. 24
		Annex I, Reg. 47.2
		Annex II, Reg. 22.2
		Annex IV, Reg. 18.2
		Annex V, Reg. 14.2

STCW 1978	STCW Code (part A)	Reg. I/1.2.3
LL PROT 1988	III Code 2008 IS Code RO Code	Reg. I/16.1 Annex 1, Reg. 1 Annex I, Reg. 2-1
TONNAGE 1969	III Code	Annex IV, Reg. 54(1)
COLREG 1972	III Code	Annex III, Reg. 8 Part F, Reg. 40

Annex 6

**SUMMARY OF AMENDMENTS TO MANDATORY INSTRUMENTS
REFLECTED IN THE NON-EXHAUSTIVE LIST OF OBLIGATIONS
(ANNEXES 1 TO 4 AND ANNEX 7)**

The amendments to mandatory instruments reflected in annexes 1 to 4 and annex 7 are summarized below to facilitate the amendment of corresponding tables in the future.

SOLAS 1974

Res. MSC.215(82)	up to and including 2018 amendments (res. MSC.436(99) except chapter XI-2, regulation V/19-1 and ISPS Code)
Res. MSC.133(76)	up to and including the 2012 amendments (res. MSC.341(91))
Res. MSC.287(87)	up to and including the 2004 amendments (res. MSC.158(78))
Res. MSC.288(87)	as adopted
Res. MSC.289(87)	up to and including the 2012 amendments (res. MSC.342(91))
Res. MSC.402(96)	as adopted
Noise Code	as adopted by res. MSC.337(91)
2008 IS Code	up to and including the 2018 amendments (res. MSC.443(99)/MSC.444(99))
FSS Code	up to and including the 2016 amendments (res. MSC.403(96))
2010 FTP Code	up to and including the 2018 amendments (res. MSC.437(99))
LSA Code	up to and including the 2017 amendments (res. MSC.425(98))
IMSBC Code	up to and including the 2019 amendments (res. MSC.462(101))
CSS Code, sub-chapter 1.9	up to and including the 2002 amendments (MSC/Circ.1026)
Grain Code	up to and including the 1991 amendments (res. MSC.23(59))
IMDG Code	up to and including the 2020 amendments (res. MSC.477(102))
IBC Code	up to and including the 2019 amendments (res. MSC.460(101) and res. MEPC.318(74))
IGC Code	up to and including the 2018 amendments (res. MSC.441(99))
INF Code	up to and including the 2007 amendments (res. MSC.241(83))
ISM Code	up to and including the 2013 amendments (res. MSC.353(92))
1994 HSC Code	up to and including the 2018 amendments (res. MSC.438(99))
2000 HSC Code	up to and including the 2018 amendments (res. MSC.439(99))
RO Code	as adopted by res. MSC.349(92) and MEPC.237(65)
2011 ESP Code	up to and including the 2019 amendments (res. MSC.461(101))

Casualty Investigation Code	up to and including 2014 amendments (res. MSC.390(94))
Res. 4 of the 1997 SOLAS Conf.	as adopted
Res. MSC.169(79)	as adopted
Res. MSC.168(79)	as adopted
III Code	as adopted by res. A.1070(28)
Polar Code	as adopted by res. MSC.385(94) and res. MEPC.264(68)
IGF Code	up to and including 2017 amendments (res.422(98))
SOLAS PROT 1978	up to and including the 2015 amendments (res. MSC.394(95))
SOLAS PROT 1988	up to and including the 2015 amendments (res. MSC.395(95))
MARPOL	up to and including the 2020 amendments (res. MEPC.324(75))
RO Code	as adopted by res. MEPC.237(65) and MSC.349(92)
Res. MEPC.94(46), as amended	up to and including the 2013 amendments (res. MEPC.236(65))
IBC Code	up to and including the 2019 amendments (res. MSC.460(101) and MEPC.318(74))
BCH Code	up to and including the 2019 amendments (res. MEPC. 319(74) and MSC.463(101))
NO _x Technical Code 2008	up to and including the 2019 amendments res. MEPC.317(74))
III Code	as adopted by res. A.1070(28)
Polar Code	as adopted by res. MEPC.264(68) and res. MSC.385(94)
STCW 1978	up to and including the 2016 amendments (res. MSC.416 (97)), except Regs. VI/5.2, 6.3 and 6.6
STCW Code, part A	up to and including the 2016 amendments (res. MSC.417(97))
III Code	as adopted by res. A.1070(28)
LL 1966	up to and including the 2013 amendments (res. A.1083(28))
LL PROT 1988	up to and including the 2014 amendments (res. MSC.375(93))
RO Code	as adopted by res. MSC.349(92)
III Code	as adopted by res. A.1070(28)
TONNAGE 1969	up to and including the 2013 amendments (res. A.1084(28))
III Code	as adopted by res. A.1070(28)
COLREG 1972	up to and including the 2013 amendments (res. A.1085(28))
III Code	as adopted by res. A.1070(28)

Annex 7

**AMENDMENTS⁴ TO IMO INSTRUMENTS EXPECTED TO BE ACCEPTED
AND TO ENTER INTO FORCE BETWEEN 1 JANUARY 2022 AND 1 JULY 2022**

The following tables contain non-exhaustive lists of obligations, including those obligations imposed when a right is exercised.

Annex 1

OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES

OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
IMDG Code		
Chapter 3.3, SP356	Approval of metal hydride storage systems installed in vehicles, vessels, <u>machinery, engines</u> or aircraft or in completed components or intended to be installed in vehicles, vessels, <u>machinery, engines</u> or aircraft	<u>In force 1/6/2022 by MSC.477(102)</u>
Chapter 5.5. <u>2.5.2</u>	<u>Determining the period between fumigant application and loading of fumigated cargo transport unit on board the ship Determination of requirements for fumigation of cargo transport units to ensure a sufficient period has elapsed to attain a reasonable uniform gas concentration throughout the cargo in it</u>	<u>In force 1/6/2022 by MSC.477(102)</u>
Chapter 6.2	Approval of pressure receptacles, aerosol dispensers, small receptacles containing gas (<u>gas cartridges</u>) and fuel cell cartridges containing liquefied flammable gas - role of competent authority	<u>In force 1/6/2022 by MSC.477(102)</u>
<u>Para.6.2.2.1.2</u>	<u>Approval of tube service life test programme and the results – role of competent authority</u>	<u>In force 1/6/2022 by MSC.477(102)</u>

The struck-out text indicates deletions and the underlined text shows additions or changes to the non-exhaustive list of obligations.

⁴ The struck-out text indicates deletions and the underlined text shows additions or changes to the non-exhaustive list of obligations.

Annex 2

SPECIFIC FLAG STATE OBLIGATIONS

SPECIFIC FLAG STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
<u>IMDG Code</u>		
Chapter 3.3., SP975	Approval of long international voyages	In force 1/6/2022 by MSC.477(102)
Chapter 3.3, SP976	Prohibition of the transport of this substance except with the approval	In force 1/6/2022 by MSC.477(102)
<u>MARPOL</u>		
<u>Annex VI</u>		
Reg. 20.3	Reporting of the required and attained EEDI value and relevant information to the Organization	In force 1/4/2022 by MEPC.324(75)

Annex 4

SPECIFIC PORT STATE OBLIGATIONS

SPECIFIC PORT STATE OBLIGATIONS		
SOURCE	SUMMARY DESCRIPTION	COMMENTS
IMDG Code		
<u>Chapter 3.3, SP975</u>	<u>Approval of long international voyages</u>	<u>In force 1/6/2022 by</u> <u>MSC.477(102)</u>
<u>Chapter 3.3, SP976</u>	<u>Prohibition of the transport of this substance</u> <u>except with the approval</u>	<u>In force 1/6/2022 by</u> <u>MSC.477(102)</u>

Resolution A.1157(32) Adopted on 15 December 2021 (Agenda items 12 and 14)
2021 NON-EXHAUSTIVE LIST OF OBLIGATIONS UNDER INSTRUMENTS
RELEVANT TO THE IMO INSTRUMENTS IMPLEMENTATION CODE (III CODE)



E

MEPC/Circ.318
26 July 1996

Ref.T5/1.01

FORMATS FOR A MANDATORY REPORTING SYSTEM UNDER MARPOL 73/78

1 Parties to MARPOL 73/78 may recall that the formats for a mandatory reporting system under MARPOL 73/78 were circulated by MEPC/Circ.266 dated 18 October 1993.

2 Attached are the revised reporting formats for a mandatory reporting system under MARPOL 73/78 ("one-line" entry format) adopted by MEPC at its thirty-eighth session (MEPC 38/20, paragraphs 4.15 and 4.16) to facilitate communication to the Organization of information called for by articles 8, 11, and 12, regulation 12 of Annex I, regulation 7 of Annex II and regulation 7 of Annex V of MARPOL 73/78. The data from these reports will be useful to the Organization to assess the effectiveness of the application of the Convention and for statistical purposes.

3 For casualty reports under article 12(1) of MARPOL 73/78, they should be reported in accordance with SOLAS arrangements. References relating to casualty reports should be included in the column 7 of Part 1(a) or Part 1(b) as appropriate of this reporting format.

4 A report under article 12(2) of MARPOL 73/78 should be made to the Organization (Marine Environment Division) whenever a Party judges that information concerning the findings of a casualty investigation will assist in determining what changes in the Convention might be desirable. This report should be in a form suitable for issue as an MEPC information paper.

5 Parties are requested to submit their annual reports using the new formats commencing with the 1996 calendar year to the Organization by 30 September each year.* Nil returns are required from Parties for each reporting requirement from the perspective of port, coastal or flag States.

6 Notwithstanding the above, IMO should be informed without delay in all cases of pollution incidents of potential interest to the public or where IMO assistance may be required.

* It is understood that the first reports in the new format to be submitted by Parties to the Organization should be received by 30 September 1997 for the calendar year of 1996 (MEPC 38/20, paragraph 4.16)

7 The reports should be addressed to:

The Director,
Marine Environment Division,
International Maritime Organization,
4, Albert Embankment,
London SE1 7SR,
United Kingdom.

Telex 23588
Telefax: (+)44 171 587 3210
Telephone: (+)44 171 735 7611

8 These formats supersede the formats contained in MEPC/Circ.266 as far as annual reporting to the Organization is concerned.

ANNEX

PART 1

ANNUAL SUMMARY REPORT (ARTICLE 11(1)) OF INCIDENTAL SPILLAGES UNDER ARTICLE II OF PROTOCOL I AND ARTICLE 12

PURPOSE: To provide IMO with a summary of discharges (article 2(3)) not permitted under the provisions of MARPOL 73/78 and pollution due to casualties to ships.

a) Discharges of 50 tonnes or more.

b) Discharges of less than 50 tonnes (to be reported at the discretion of Parties).

* Additional sheets may be provided as appropriate

PART 2

ANNUAL ENFORCEMENT REPORT ON ALLEGED DISCHARGE VIOLATIONS

PURPOSE: To summarize the violation cases referred by coastal States to other Administrations for prosecution or other action and to report to IMO.

Summary report by the coastal State to IMO of alleged violations of the discharge provisions or incidents involving harmful substances referred to flag States (article 8(2)) taking into account the flag States' responses.

(Continued)

PART 3

ANNUAL ENFORCEMENT REPORT ON RECEPTION FACILITIES

PURPOSE: To summarize the alleged inadequacy of reception facilities and to summarize the results of investigations into alleged inadequacy of reception facilities.

- a) **Summary report** by the flag State to IMO of alleged inadequacy of reception facilities referred to the port State when prior notification to use the facilities was given (Annex I-R .12 (5), Annex II-R.7(4) and Annex V-R.7(2)).

- b) Summary report** by the port State to IMO of actions taken on alleged inadequacy of reception facilities referred to that State.

PART 4**ANNUAL STATISTIC REPORTS FOR.....(YEAR)**

PURPOSE: To provide IMO and the individual Parties with the necessary data to assess the overall implementation of MARPOL 73/78 (article 11(1)).

Section 1**Statistical report by the port State to IMO under its port State control**

1	NUMBER OF SHIPS BOARDED DURING REPORT PERIOD	_____	TOTAL
2	IOPP CERTIFICATION DISCREPANCIES:	_____	TOTAL
a)	No certificate or equivalency	_____	
b)	Certificate or equivalency discrepancy	_____	
c)	Compliance rate	_____	%
3	OIL RECORD BOOK DISCREPANCIES:	_____	TOTAL
a)	No oil record book or equivalency	_____	
b)	Oil record book or equivalency discrepancy	_____	
c)	Compliance rate	_____	%
4	MARPOL 73/78 EQUIPMENT DISCREPANCIES:	_____	TOTAL
a)	Required equipment not on board	_____	
b)	Required equipment not functioning	_____	
c)	Compliance rate	_____	%
5	NUMBER OF SHIPS DETAINED IN PORT OR DENIED ENTRY	_____	TOTAL

PART 4 (CONTINUED)**Section 2**

Summary report by the port State to IMO about violations resulting in detention or denial of entry.

1	2	3
Name and IMO No. of the ship	Violation description	Action taken

Section 3**Statistical Report to IMO of Penalties Imposed for MARPOL 73/78 Violations (article 11(1))****a) Report by port State**

Type of violation	Number	Penalty imposed			
		Fines (in £ Sterling)			Imprisonment
		Max	Min	Average	No. and average term
1. Illegal discharge					
2. Oil Record Book					
3. IOPP Certificate					
4. Other					

b) Report by flag State

Type of violation	Number	Penalty imposed			
		Fines (in £ Sterling)			Imprisonment
		Max	Min	Average	No. and average term
1. Illegal discharge					
2. Oil Record Book					
3. IOPP Certificate					
4. Other					

PART 5**DIFFICULTIES IN THE IMPLEMENTATION OF MARPOL 73/78**

Difficulties experienced in exercising port State control and the detection of violations:
