

FACILITATION COMMITTEE
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**REPORT OF THE FACILITATION COMMITTEE
ON ITS FORTY-FIRST SESSION**

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1 GENERAL

1.1 The Facilitation Committee held its forty-first session from 4 to 7 April 2017 under the chairmanship of Mr. Yury Melenas (Russian Federation). The Vice-Chair, Mrs. Marina Angsell (Sweden), was also present.

1.2 The session was attended by delegations from Member States and an Associate Member, a representative from a United Nations regional commission, observers from intergovernmental organizations, and observers from non-governmental organizations in consultative status as listed in document FAL 41/INF.1.

Secretary-General's opening address

1.3 The Director of the Maritime Safety Division, speaking on behalf of the Secretary-General, commenced his opening address by expressing his sympathy for the victims of the terrorist attacks in Saint Petersburg on 3 April 2017. He conveyed the Organization's condolences to the delegation of the Russian Federation and to the bereaved families and friends of the innocent victims of those terrorist attacks.

1.4 The Committee was advised of the loss of the Marshall Islands-flagged, Republic of Korea-owned very large ore carrier **Stellar Daisy** in the South Atlantic off Uruguay. At that time, two crew members had been rescued by the Uruguayan Navy, and he praised the unstinted search and rescue efforts of the Uruguayan SAR Authorities. Eight Korean and 14 Filipino seafarers were still unaccounted for, and he requested the delegations of the Republic of Korea and the Philippines to convey the Organization's condolences to the families affected by this incident.

1.5 The Director of the Maritime Safety Division, speaking on behalf of the Secretary-General, stressed the need to make the Committee even more inclusive and to encourage active participation from all stakeholders within Government (e.g. all the agencies involved in port operations, control and clearance, including border control, customs, health, agriculture, port and maritime authorities) and industry. Along those lines, the Secretary-General encouraged delegations to share the outcome of the session with those other agencies, and to extend his invitation to them to attend all future sessions of the Committee with a view to having more informed debates.

1.6 The full text of his opening speech can be downloaded from the IMO website at the following link:

<http://www.imo.org/MediaCentre/SecretaryGeneral/Secretary-GeneralsSpeechesToMeetings>

Chair's remarks

1.7 In responding, the Chair thanked the Director of the Maritime Safety Division for delivering the Secretary-General's guidance and encouragement and assured the Secretary-General that his advice and requests would be given every consideration in the deliberations of the Committee and its working groups.

Adoption of the agenda

1.8 The Committee adopted the provisional agenda, set out in document FAL 41/1, as amended, as the agenda for the session, and agreed further to be guided by the annotated agenda (FAL 41/1/1) and the provisional timetable during the session.

Credentials

1.9 The Committee was informed that the credentials of delegations attending the session were in due and proper form.

2 DECISIONS OF OTHER IMO BODIES

The Committee noted the information provided in document FAL 41/2 (Secretariat), in relation to the outcomes of the work of MEPC 69, MSC 96, LEG 103, C 116, III 3, TC 66, MEPC 70, MSC 97 and C 117, on matters of relevance to the work of the Committee and decided to consider the various issues which warranted action by the Committee under the relevant agenda items.

3 CONSIDERATION AND ADOPTION OF PROPOSED AMENDMENTS TO THE CONVENTION

3.1 The Committee recalled that FAL 40, on 8 April 2016, in accordance with article VII(2)(a), had unanimously adopted amendments to the annex to the Convention by resolution FAL.12(40). The Committee noted that these amendments should enter into force in accordance with article VII.2(b), on 1 January 2018, unless, prior to 1 October 2017, at least one third of the Contracting Governments had notified the Secretary-General in writing that they did not accept the amendments.

3.2 The Committee further noted that no amendments to the annex to the Convention had been proposed for consideration or formal adoption at this session.

3.3 The Committee considered documents FAL 41/3 (Marshall Islands) and FAL 41/8 (Marshall Islands) that proposed to include port, terminal, and berth information when reporting the place of boarding of stowaways in appendix 3 to the annex to the FAL Convention, and in the appendix to the annex to resolution FAL.11(37) and in the annex to FAL.2/Circ.50/Rev.2, respectively.

3.4 Before addressing the substance of the proposal, the Committee considered document FAL 41/3/1 (Secretariat) with the advice of the Legal Affairs and External Relations Division on whether the appendices, and in particular appendix 3, formed an integral part of the FAL Convention.

3.5 The Committee recognized the merit of the proposal made by the Marshall Islands, and discussed a solution with a view to reflecting this understanding. During the ensuing discussion, the delegation of the Bahamas proposed that the Committee approve a *Unified Interpretation of Appendix 3 to the FAL Convention* as the simplest solution to addressing this issue. The Committee agreed that the FAL Committee was not the forum to discuss the legal status of the appendices to the annex to the FAL Convention. Instead, the subject should be referred to the LEG Committee for its consideration.

3.6 The Committee agreed to request the LEG Committee to consider the legal status of the appendices to the FAL Convention and to advise the FAL Committee accordingly, bearing in mind that the final interpretation of whether appendices 1, 2, 3 and 4 to the FAL Convention were part of the FAL Convention was a prerogative of the Contracting Governments to the FAL Convention.

3.7 The Committee agreed further to revise FAL.2/Circ.50/Rev.2 to include the additional information on port, terminal, and berth information when reporting the place of boarding of stowaways in the reports of Member States and international organizations to the Secretariat on stowaway incidents.

3.8 The Committee instructed the Secretariat to prepare a document with the proposed two new FAL circulars, for the consideration of the Committee on Friday 7 April.

3.9 The Committee, when considering FAL 41/WP.6, agreed to the proposal made by one delegation to include additional information on "port facility number", together with the port, terminal, and berth information, when reporting the place of boarding of stowaways in the reports. The Committee approved:

- .1 FAL.7/Circ.1 on *Unified Interpretation of Appendix 3 to the FAL Convention*; and
- .2 FAL.2/Circ.50/Rev.3 on *Reports on stowaway incidents*.

3.10 The Committee, noting that MSC had adopted a corresponding resolution (MSC.312(88)) on *Revised guidelines on the prevention of access by stowaways and the allocation of responsibilities to seek the successful resolution of stowaway cases*, agreed to inform MSC about the discussions held on this issue and the decision adopted by the Committee.

4 REVIEW AND UPDATE THE EXPLANATORY MANUAL TO THE FAL CONVENTION

4.1 The Committee recalled that FAL 36 had approved the Explanatory Manual to the annex to the Convention, which gives guidance on interpreting the legal text of the provisions of the Convention and gives examples of best practices on the implementation of Standards and Recommended Practices. The Explanatory Manual was issued as FAL.3/Circ.202 on 11 October 2010.

4.2 The Committee recalled that FAL 37 had noted that the Explanatory Manual needed to be kept under review and updated to reflect any future amendments to the FAL Convention, and, taking into account that the Explanatory Manual had been completed already by FAL 36, FAL 37 had agreed to amend the description of the output to "Review and update the Explanatory Manual to the FAL Convention to reflect any amendments to the annex to the FAL Convention (FAL)".

4.3 The Committee recalled that, in previous sessions, the Committee had already identified the following areas, terms and guidance to be considered in the review of the Explanatory Manual:

- .1 wider explanation on the international accepted standards including UN standards, as referred to in paragraph 3.5 of FAL 37/WP.5;
- .2 references to the WCO Safe Framework of Standards, in Standards in general and in Standards 1.6 and 2.1.3 in particular, as referred to in paragraphs 3.6 and 4.3 of document FAL 37/WP.5;
- .3 provide further guidance on Recommended Practice 4.3.1.2 relating to security aspects preventing stowaways entering port facilities and/or ships, as referred to in paragraph 5.1 of document FAL 37/WP.5;
- .4 other areas to be addressed in the Explanatory Manual, e.g. security level, international accepted standards of transmission of electronic data, reference to the MEPC.1/Circ.1/644, etc., as referred to in paragraph 6.1 of document FAL 37/WP.5;

- .5 discourage the practice of some countries to prohibit the use of foreign data centres when providing ship information required under the Convention, as referred to in paragraphs 4.24 and 4.25 of FAL 38/WP.4, and paragraph 4.42 of document FAL 38/15;
- .6 on Standards 1.3~~ter~~ and 2.16.1, as referred to in paragraph 18 and annex 2 to document FAL 39/4; and
- .7 inclusion of some additional guidance information required in the boxes of FAL Form 7 in the Explanatory Manual, as referred to in paragraphs 4.3 and 4.7 of document FAL 40/19, and annex 3 to document FAL 40/4.

4.4 The Committee recalled that FAL 39 had considered the outcome of the seminar on stowaways held in Abidjan, in March 2014 (FAL 39/6 and FAL 39/6/1), and recognized the value of the information provided. However, FAL 39 had agreed that it would be premature to introduce the discussion of the conclusions of the seminar in Abidjan under the process of general review of the annex to the FAL Convention. The Committee recalled further that FAL 39 had noted that a similar seminar for East and South Africa had been planned for 21 to 23 October 2014 in Durban, South Africa, for participants from ports with reportedly the highest number of embarkations of stowaways in those regions.

Establishment of the Working Group

4.5 Having considered the above matters, the Committee established the Working Group for the Review and update of the Explanatory Manual to the FAL Convention, chaired by Mrs. Marina Angsell (Sweden), and instructed it, taking into account the comments made and decisions taken in plenary, to:

- .1 taking into account resolution FAL.12(40) and the subjects already identified by the Committee for possible inclusion in the Explanatory Manual (FAL 37/WP.5, paragraphs 3.5, 3.6, 4.3, 5.1 and 6.1; FAL 37/17, paragraph 4.39; FAL 38/WP.4, paragraphs 4.24 and 4.25; FAL 38/15, paragraph 4.42; FAL 39/4, paragraph 18 and annex 2; FAL 40/19, paragraphs 4.3 and 4.7; and FAL 40/4, annex 3), identify areas of the Explanatory Manual to the annex to the FAL Convention required to be amended, for preliminary consideration by the Committee;
- .2 prepare Terms of Reference for a Correspondence Group on the Explanatory Manual, if established, for consideration by the Committee; and
- .3 submit its report on Thursday, 6 April 2017.

Report of the Working Group

4.6 Having considered the report of the Working Group (FAL 41/WP.4), the Committee approved it in general and took action as indicated hereunder.

4.7 The Committee noted the progress made by the Working Group on the Revised Explanatory Manual, and endorsed the document produced by the Group set out in document FAL 41/WP.4, as the basis for further work.

4.8 The Committee considered the recommendation made by the Working Group to extend the target completion of this output number 8.0.1.2, and the Committee agreed to extend it to 2019.

Terms of reference of the Correspondence Group on the Review of the Explanatory Manual

4.9 The Committee approved the following terms of reference for the intersessional Correspondence Group on the Review of the Explanatory Manual, under the coordination of France*:

- .1 examine the text of the Explanatory Manual and develop draft amendments, on the basis of the annex to WP.4 and decisions made at FAL 41, with a view to finalizing the draft amendments;
- .2 check that the cross-references within the Explanatory Manual are correct;
- .3 consider and advise what should be done with the explanatory text connected to a Standard or a Recommended Practice which has been deleted;
- .4 ensure that the text of the Explanatory Manual reflects that public authorities shall take all necessary measures for the establishment of systems for the electronic exchange of information by 8 April 2019;
- .5 ensure that the text of the Explanatory Manual reflects the concept that in an electronic environment it is the data that is relevant not the documents;
- .6 review the text of the Explanatory Manual and propose changes to make it gender neutral;
- .7 advise on whether or not guidance on the FAL forms should be included in the Explanatory Manual, if such guidance should cover all forms or only one (FAL Form 7), or if it is more appropriate to give guidance through a reference to another instrument; and
- .8 submit its report in time for consideration by the next session of the Committee.

5 APPLICATION OF SINGLE-WINDOW CONCEPT

IMO project on the development of a prototype maritime single window

5.1 The Committee recalled that FAL 40 had considered document FAL 40/5 (Secretariat), which provided information on the IMO project on the development of a prototype maritime single window (MSW). Prior to FAL 40 and following the decisions made by TC 65 and the offers made at C 114, the Secretariat had established a series of consultation meetings with other international organizations (UNCTAD, WCO and IPCSA), and with Chile, Norway, the Republic of Korea and the European Commission, the donors that had generously offered their assistance. These meetings were held with the intention of establishing the scope and management of the project.

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5.2 These meetings made it clear that most, if not all, the systems presented by the donors could already achieve the goals of the project. Some of the systems were more complex than others due to specific port/user requirements and had been in operation for many years. However, one of the main challenges observed was the lack of harmonization of formats for data submission. There were, basically, three different preferences: EDIFACT (noting that there are different versions in place), XML and Excel. Harmonization and standardization of data formats should also be considered as the ultimate aim of the project.

5.3 The Committee recalled that FAL 40 had considered the following options, based on the information collected during the above consultations:

- .1 the first option was to develop a prototype MSW reusing one of the systems offered by the donors and/or parts of different systems;
- .2 the second option was to develop a completely new prototype taking into account the experience of others in the development and implementation of MSW systems; and
- .3 the third option was not to develop a prototype but to recommend the use of one or various existing systems, for instance, from among those offered so far, and any other that may be offered in the future.

5.4 The Committee recalled that FAL 40 had noted the following views expressed during the deliberations of the Working Group on electronic means for the clearance of ships related to these options:

- .1 the majority of delegations were in favour of developing a prototype based on one of the existing systems offered by the donors, as it could also serve as a way of leading the harmonization and standardization of reporting requirements;
- .2 some delegations indicated their preference to proceed by making use of existing systems and to focus efforts on the data reporting, harmonization and standardization of MSWs already implemented; however, it was also indicated that this option would not be favourable for some of the donors as it could impact the level and the amount of assistance to be provided; and
- .3 other delegations were also of the view that, although it was not part of the terms of reference of the Working Group, the development of a completely new prototype could also be reconsidered after agreeing the scope of the system.

5.5 The Committee recalled that FAL 40 had noted further the Working Group's view that the first two options did not necessarily exclude each other. Moreover, MSW systems offered by some of the donors were currently available to Member States requiring assistance, on a bilateral basis.

5.6 The Committee recalled that FAL 40 had noted also the following views, expressed by the Working Group with regard to the development of the prototype MSW, that:

- .1 there were several EDIFACT versions, but all of them were backward compatible, and that there could be different versions of XML, not necessarily being fully compatible with each other;

- .2 a scalable modular development of a MSW prototype would be the most appropriate solution as it could be easily integrated into wider single-window concepts and promote interoperability;
- .3 there could be many different implementations of MSW at national level depending on the structure and responsibilities of different authorities involved in the process of clearance of ships; and
- .4 before selecting a base system for the development of a MSW prototype, it would be necessary to review users' expectations and agree on key principles.

5.7 The Committee recalled that FAL 40 had noted the Working Group's view that specific requirements from Member States willing to implement on MSW and requiring assistance should be further analysed in order to develop a product that would address their specific needs.

5.8 The Committee recalled that FAL 40 had noted the Working Group's conclusion that it was not in a position to recommend a way forward for the development of a MSW prototype and further information would be required before considering the issue any further.

5.9 The Committee recalled that FAL 40 had noted that user needs were important to define the scope of the MSW prototype and, in this respect, had:

- .1 invited Member States requiring assistance in the implementation of MSWs to contact the Secretariat (alsec@imo.org) as soon as possible in order to discuss their specific needs and explore possible solutions;
- .2 invited Member States and organizations willing to assist with the implementation of MSWs or the development of a prototype MSW to contact the Secretariat or submit information to FAL 41; and
- .3 requested the Secretariat to report to FAL 41 with an analysis of the needs, a summary of commonalities and any additional information.

5.10 The Committee considered the information provided by the Secretariat on the IMO development of a prototype MSW, and noted that the Secretariat had not received further inputs on the specific needs of recipient countries, but had received some additional information of the offer made by the donors (Chile, Norway, Republic of Korea and the European Commission).

5.11 The Committee considered document FAL 41/5/2 (Japan) that proposed to amend annex A of FAL.5/Circ.36 to include an updated list of existing MSWs, which could help match Member States that wished to receive support for setting up an MSW with Member States that would like to assist other Member States. This best practice would help improve the introduction of MSWs.

5.12 The delegation of Norway highlighted the importance of developing an MSW by the Organization, and the need to agree at this session basic performance criteria for the system, e.g. stakeholders involved, scope of information, standards, simplicity and flexibility. The statement of the Norway is included in annex 8.

5.13 The Committee noted the offers made by the delegation of Peru to share its expertise on MSW with Member States that do not have MSWs in place, and by the delegation of Singapore, which offered its expertise to contribute to the development of an MSW prototype.

5.14 The Committee recognized the urgency of developing MSWs taking into account that the use of electronic interchange of information would become obligatory on 9 April 2019. The Committee also recognized that harmonization and standardization of data elements was a core part of the interoperability of MSWs.

5.15 There was considerable discussion on whether the prototype of MSW should be considered further by the Committee. Some delegations, expressing concerns about the lack of progress achieved since FAL 40 and the lack of inputs from recipient countries, preferred to focus on the proposal made by Japan, i.e. to facilitate bilateral cooperation to promote the implementation of MSWs. Other delegations expressed their views on the potential benefits of developing an IMO MSW. Finally, the Committee decided to instruct the Group to consider further the possible ways forward for the MSW and to advise the Committee accordingly.

5.16 The Committee agreed on the convenience of reviewing *Guidelines for setting up a single window system in maritime transport* (FAL.5/Circ.36), to reflect the amendments introduced in the guidelines since its approval, and specifically, to review its annex A in order to update the list of existing MSWs, to facilitate bilateral cooperation for promoting the implementation of MSWs.

5.17 Based on this decision, the Committee instructed the Working Group on electronic clearance of ships to consider the update of FAL.5/Circ.36, and to prepare the justification for a new output to amend FAL.5/Circ.36, for consideration by the Committee under agenda item 14.

Performance Standards on electronic signatures

5.18 The Committee considered document FAL 41/5/3 (ISO), which recommended that the MSW be implemented as a machine-to-machine system that allowed full automation of the ship's reporting obligations, and that the Committee consider the development of performance standards for the electronic signature system.

5.19 The Committee agreed that the preferred option to promulgate the need for automatic machine-to-machine solutions for the future MSW was in the Explanatory Manual rather than by a circular.

5.20 After a thorough discussion, the majority of the Committee was in favour of instructing the Working Group on electronic means for the clearance of ships to consider further the proposal included in document FAL 41/5/3 and to develop the justification for a new output to develop Performance standards for electronic signature as appropriate.

Harmonization and standardization of data reporting formats

5.21 The Committee recalled that FAL 40 had noted the view of the Working Group that there were both technical and policy issues that needed to be addressed as part of the harmonization and standardization of data reporting formats between different existing MSW platforms in order to, among other things, reduce the administrative burden on board ships.

5.22 The Committee recalled that FAL 40 had noted the Working Group's view that many of the technical issues related to harmonization and standardization would be addressed as part of the revision of the IMO Compendium, the cooperation work to be conducted between different stakeholders, in particular UNECE, WCO and ISO, the implementation of MSWs, and the continuous work of the Committee in promoting interoperability and facilitation aspects.

5.23 The Committee recalled that FAL 40 had noted further the view of the Working Group that harmonization and standardization issues were often driven by unavoidable differences in national legislation, organization, and data needs among the various receivers of information, including individual ports and port States.

5.24 The Committee recalled that FAL 40 had invited authorities to promote and encourage harmonization among their individual ports.

IMO Compendium on Facilitation and Electronic Business

5.25 The Committee recalled that FAL 40 had agreed that the IMO Compendium should not be reformatted at this stage, but that the definitions for data in FAL Forms contained in annex 1 to the IMO Compendium should be reviewed or clarified to address possible misinterpretations by relevant users of the Compendium and other stakeholders, such as ISO, UNECE and WCO, and to harmonize as much as possible with the underlying data models.

5.26 The Committee recalled that FAL 40 also had agreed that the existing FAL Forms and ship security-related information should be reviewed for possible mistakes and inconsistencies, as indicated in documents FAL 40/6/1 and FAL 40/6/1/Corr.1 and FAL 40/6/5.

5.27 The Committee recalled that some delegations at FAL 40 had been of the opinion that it was not possible to continue with the review of the IMO Compendium because this work was not included in the HLAP of the Organization. Other delegations had expressed the opposite view, recognizing that, although the reference to the IMO Compendium was not included as such in the HLAP, the work could be done because it was part of outputs of the current agenda of the Committee. However, FAL 40 had concluded that the review of the IMO Compendium was not included in the HLAP of the Organization, and therefore had agreed not to establish the Correspondence Group on the Review of the IMO Compendium on Facilitation and Electronic Business recommended by the Working Group.

5.28 The Committee recalled that FAL 40 had invited Member States and international organizations to present proposals to FAL 41 for a new output related to the review of the IMO Compendium. Taking into account the decision not to establish a correspondence group, FAL 40 had invited WCO to establish an informal correspondence group under its Data Model Project Team (DMPT) group to receive input from all the stakeholders to further progress its work on the maintenance of the Compendium, taking into account the discussions held in the Working Group.

5.29 The Committee recalled that FAL 40 had noted that further work on data mapping would be conducted in parallel by UNECE, WCO, ISO and private sector stakeholders (such as the Shipping Message Development Group (SMDG) and the PROTECT Group).

5.30 The Committee considered document FAL 41/5/1 (WCO), which reported on the progress of the work made intersessionally on the harmonization of data definitions and mapping relationships between data elements, and expressed its appreciation to WCO for the report and good progress made during this time.

5.31 The Committee noted the importance of the standardization of definitions of data elements referred to in the FAL Forms, because this would have a positive impact on the work made by the Committee on interoperability, MSW, implementation of electronic certificates and e-navigation.

Study of Ship-to-Shore Information Exchange for Efficient Electronic Port Clearance

5.32 In considering document FAL 41/INF.2 (Republic of Korea), the Committee noted the information provided on progress on the technical standardization of maritime digital communication technology and on the future standardization plan to digitalize ship-to-shore information exchange, to facilitate the ships' port clearance process. The Republic of Korea expressed its intention to provide further information at the next session of the Committee.

Guidelines for the use of electronic certificates

5.33 The Committee recalled that FAL 40 had approved FAL.5/Circ.39/Rev.2 on the *Guidelines for the use of electronic certificates*.

5.34 The Committee noted that since FAL 40, the Governments of the Bahamas, Denmark, Germany and Sierra Leone had informed the Secretary-General of their decision to issue electronic certificates. This information has been circulated as Circular Letters Nos.3646, 3705, 3712, and 3715, respectively.

5.35 The Committee noted that the Secretariat had developed a tool to provide and consult the information on e-certification verification in the "Survey and Certification" module of GISIS, and Denmark, Germany, Liberia and Sierra Leone had confirmed the availability of their websites for verification of e-certificates via GISIS.

5.36 The Committee urged Member States to use GISIS to provide their e-certification verification website information, both for efficiency and to avoid the need to issue circular letters in accordance with resolution A.1074(28) *Notification and circulation through GISIS*.

5.37 The Committee noted that the Secretariat had contacted the port State control MOUs in December 2016 with the intention of establishing whether they had released instructions to PSC officers for the acceptance of electronic certificates:

- .1 the Secretariats of the Paris, Black Sea, Riyadh and Tokyo MoUs and the Viña del Mar Agreement advised that they had submitted FAL.5/Circ.39/Rev.2 to their PSCOs; and
- .2 the Secretariat of the Paris MoU informed further that it had also circulated PS circular 81 of 19 September 2016, with guidelines for the use of electronic certificates.

Outcome of NCSR 4 on facilitation aspects of mandatory ship reporting under SOLAS regulation V/11

5.38 The Committee noted the following information provided by the Secretariat on the discussions at NCSR 4 on the outcome of a testbed on automated ship reporting, in the context of resolution MSC.43(64) on revised *Guidelines and criteria for ship reporting systems*, that included pre-arrival information related to the FAL Forms:

- .1 NCSR 4 had decided not to discuss this issue further, because the output was restricted to mandatory ship reporting systems established in accordance with SOLAS regulation V/11. The transmission of pre-arrival information related to the FAL forms and single window was not a requirement associated with the SOLAS Convention but with the FAL Convention;

- .2 NCSR 4 had noted the view expressed during the discussion that there was a need to look at the issue of ship reporting in a holistic manner, including all kinds of ship reporting concepts, such as MSW reporting, and this should be considered in consultation with the FAL Committee; and
- .3 NCSR 4 had approved the draft Revised Guidelines and criteria for ship reporting systems, and agreed that no further actions were needed.

5.39 The Committee agreed that it was premature to consider further this issue.

Establishment of the Working Group

5.40 Having considered the above matters, the Committee established the Working Group on electronic means for the clearance of ships, chaired by Mr. Butturini (USA), and instructed it, taking into account the comments made and decisions taken in plenary, to:

- .1 consider documents FAL 41/5, FAL 41/5/1, FAL 41/5/2, and FAL 41/5/3 and advise the Committee on the way forward on the implementation and interoperability of the MSW system;
- .2 based on document FAL 41/5/2, consider how best to update FAL.5/Circ.36 and its annex and prepare a justification for a new output to amend the *Guidelines for setting up a single window system in maritime transport* (FAL.5/Circ.36);
- .3 consider document FAL 41/5/3, and prepare a justification for a new output to develop performance standards for electronic signature as appropriate; and
- .4 submit a report on Thursday, 6 April 2016.

Report of the Working Group

5.41 Having received and considered the report of the Working Group (FAL 41/WP.5), the Committee approved it in general and, in particular, took action as summarized in the following paragraphs.

IMO project for the development of a prototype MSW

5.42 The Committee noted that the Group, in general, had recommended that the Committee continue its support for the IMO project for the development of a prototype MSW. With respect to the three options listed in paragraph 5.3 above, although there was some support for option 1, the Group, in general, supported option number 2 as the best way to incorporate the expertise and lessons learned from existing implementation of single window systems, and noted that it did not conflict with option 3 for cooperation between Member States.

5.43 The Committee noted that the Group felt constrained from giving full support for any one of the options because of concerns raised on the lack of information about the scope and plans for the prototype and the project, in particular, the budgetary and resource implications of progressing work without a clear vision of the objective.

5.44 Some delegations, while recognizing that no clear instructions had been given to the group, expressed concerns on the lack of progress of the project, and the implication of the timeline if option 2 were selected. However, other delegations were of a different opinion, and considered that the selection of option 2 was already an achievement that could allow the Secretariat to progress the project.

5.45 The Committee recognized that the project provided a framework that Member States might refer to, and it was not intended to establish a global system.

5.46 The Committee noted that the obligation to create systems for the electronic interchange of information established by Standard 1.3*bis* did not refer to the MSW, and the Contracting Governments could use systems other than the MSW to comply with this obligation. Therefore the Committee was of the opinion that there was no need to complete the project by 9 April 2019.

5.47 One delegation expressed the opinion that the industry should be consulted in the development of the project to ensure that solutions were reflective of the modus operandi of the maritime industry.

5.48 The group proposed that the Committee instruct the Secretariat to report to the next session about the main deliverables, budget implications, schedule, and how the project would help the recipient nations meet the scope, concepts and guidance in FAL.5/Circ.36 and other fundamental single window goals by the effective date of 2019. The delegations of Norway and the Republic of Korea offered their support to the Secretariat if so required.

5.49 Some delegations expressed concerns about the proposal to put responsibility for the project on the Secretariat, and the Secretariat was requested to inform the Committee whether it was in a position to carry out the work.

5.50 The Secretariat advised the Committee that, after having requested guidance from FAL 40 on how to proceed with the project, no communication had been received intersessionally. The Secretariat would need clear boundaries, guidelines and parameters to proceed with the project. The Secretariat also raised the question as to whether the development of the MSW would have long-term budgetary implications.

5.51 Based on this response, the Committee agreed not leave this work to the Secretariat and invited Member States and international organizations to provide this information to the next session of the Committee. The Committee agreed further to instruct the Secretariat to consider the information received and to advise FAL 42 as appropriate.

Implementation and interoperability of the MSW

5.52 The Committee invited WCO to continue hosting the informal Correspondence Group, open to all interested parties, working on interoperability, standardization, and harmonization issues, and to report on its progress to FAL 42 as appropriate. The Committee recognized the importance of this work related to the upcoming April 2019 deadline.

5.53 The Committee invited Member States and international organizations to submit documents regarding the application of the MSW concept on such topics as:

- .1 electronic exchange of information, including machine-to-machine communication, web-based services, and graphic user interfaces;
- .2 integration of other national agencies and stakeholders into MSW;

- .3 processes for streamlining government to business communication and clearance of ships and cargo;
- .4 the value and concerns about collection of information regarding national data requirements in excess of those recommended in the FAL Convention and annex; and
- .5 ways the Committee can support application of MSW concepts in developing countries.

Consideration of justification of proposals for new outputs

5.54 The Committee agreed to consider the justification of the new outputs prepared by the Group under agenda item 14 (see paragraphs 14.3 and 14.4).

Terms of reference of the Correspondence Group to update FAL.5/Circ.36

5.55 Following the decision of the Committee to approve a new output to "Update the guidelines for setting up a single window system in maritime transport" (paragraph 14.4), the Committee approved a Correspondence Group to amend the Guidelines for setting up a single window system in maritime transport under the coordination of Japan*, with the following terms of reference:

- .1 review FAL.5/Circ.36 including Best Practices, annex A taking into account the FAL Convention, as amended, comments made in Plenary, document FAL 41/5/2, and current practices;
- .2 prepare a draft revised FAL.5/Circ.36 with a view to making sure it still accurately reflects developments in maritime trade, electronic and automated machine-to-machine communication and cooperation between Member States, and other relevant developments since the approval of the Guidelines in 2011 for consideration by the Committee at FAL 42; and
- .3 report on the progress of work to FAL 42.

5.56 The Committee agreed that the Correspondence Group should not initiate its work until C 118 had endorsed the new output.

6 MEASURES TO PROTECT THE SAFETY OF PERSONS RESCUED AT SEA

Regional arrangement for the Mediterranean region

6.1 The Committee recalled that at COMSAR 14 in March 2010, the Secretary-General had offered his good offices to progress the discussion on measures to protect the safety of persons rescued at sea in the Mediterranean region.

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6.2 The Committee recalled that since this decision, one regional meeting had been hosted by Italy on 12 October 2011, and draft terms of reference were approved in principle and a draft regional MoU was partly revised during that meeting. In order to make significant progress towards finalizing the draft regional MoU, it had been considered beneficial to hold informal consultations among interested parties to agree on some of the more contentious issues and associated draft texts before organizing the next regional formal meeting. Accordingly, informal consultations of interested parties were held at IMO Headquarters on 21 February 2012, 11 February 2014 and 7 April 2014, to progress the work on the development of a draft regional agreement.

6.3 The Committee recalled that FAL 40 had noted that an informal meeting between the Member States involved in previous discussions was held on 13 April 2015, but no significant progress on the regional agreement had been achieved.

6.4 Taking into account that no documents had been submitted on this agenda item since FAL 37, and no significant progress had been achieved during these years, the Committee agreed to include this output in the post-biennial agenda with the intention to revisit this decision during FAL 42, and to advise MSC 98 accordingly.

Industry guidance on large-scale rescue operations at sea

6.5 The Committee recalled that FAL 40 had noted that MSC 95 had considered key issues within its competence, including search and rescue, and operation of merchant ships in view of the recent development of the mass rescue of migrants. MSC 95 had:

- .1 agreed to move the output 5.1.2.2 on "Measures to protect the safety of persons rescued at sea" from the post-biennial agenda of the Committee to the 2016-2017 biennial agenda of the NCSR Sub-Committee and the provisional agenda for NCSR 3; and
- .2 forwarded the *Guidance on ensuring the safety and security of seafarers and rescued persons* to NCSR 3 for consideration and report back to MSC 96.

6.6 The Committee recalled that FAL 40 had noted that NCSR 3 had considered document NCSR 3/18 (ICS) that provided information on the second edition of *Large-scale rescue operations at sea: Guidance on ensuring the safety and security of seafarers and rescued persons*, and had agreed:

- .1 to invite MSC to encourage Member States and observer organizations to promote the availability of the industry Guidance as widely as possible;
- .2 that no further action had to be taken by the Sub-Committee with regard to the industry Guidance; and
- .3 to thank ICS for the valuable and useful work in this regard, and to note the second edition of the industry Guidance and the comments made in paragraphs 7 to 10 of document NCSR 3/18, and, in particular, that this Guidance should remain a live document for as long as required, promulgated and updated by the industry co-sponsors.

6.7 The Committee recalled that MSC 96 had encouraged Member States and observer organizations to promote the availability of the industry Guidance as widely as possible, and agreed that no further action had to be taken by the Sub-Committee with regard to the industry Guidance.

6.8 The Committee noted that this Guidance had been included on the IMO website¹.

7 UNSAFE MIXED MIGRATION BY SEA

7.1 The Committee recalled that FAL 40, following the decision of A 29 to include a new output in the High-level Action Plan (HLAP) for 2016-2017 on "IMO's contribution to addressing Unsafe Mixed Migration by Sea", with MSC, FAL and LEG as parent organs, had agreed to include "Unsafe mixed migration by sea" as a new agenda item 18 in the provisional agenda of FAL 40.

7.2 The Committee recalled that FAL 40 had considered the outcome of the inter-agency High-level meeting to address unsafe mixed migration by sea, which was held at IMO Headquarters on 4 and 5 March 2015, and noted the decisions taken by LEG 102 and MSC 95 when considering the outcome of the inter-agency High-level meeting.

7.3 The Committee recalled that FAL 40 had noted further that, on the invitation by Italy, an informal meeting to review the Legal Framework for the Rescue of Mixed Migrants at Sea was held at IMO Headquarters on 21 September 2015.

7.4 The Committee recalled that FAL 40 had noted that the Secretariats of IMO, IOM and UNODC, following the recommendation of the inter-agency High-level meeting to develop shared databases on migrant incidents and on suspected smugglers and vessels, had proposed to MSC 95 amendments to the appendix of MSC/Circ.896/Rev.1 to reflect the information on migrant incidents and suspected smugglers and vessels to be included in the shared databases, leaving aside the trafficking of migrants as this issue was beyond the scope of cooperation between the three organizations.

7.5 The Committee recalled that FAL 40 had agreed to recommend that MSC 96 take the following into account when amending MSC/Circ.896/Rev.1:

- .1 the non-mandatory nature of the text of the guidelines should be retained;
- .2 the first paragraph of the annex to the draft revised circular relating to a Convention against transnational organized crime should be deleted;
- .3 the third paragraph of the annex to the draft revised circular should refer to Member States rather than Contracting Governments;
- .4 with respect to the reporting format in the appendix to the annex to the draft revised circular, the title of the report should reflect that it is concerned with migrant incidents at sea;
- .5 in the reporting format, it was unclear what the difference was between the information sought in the "Brief description of incident and measures taken" and the "Details of smuggling of migrants by sea" fields. The two fields should be merged; and
- .6 to facilitate future updating, the circular should remain as an MSC circular under the purview of MSC rather than become a joint MSC-FAL circular.

7.6 The Committee noted that MSC 96, taking into account FAL 40's proposed amendments, had approved MSC.1/Circ.896/Rev.2 on *Interim measures for combating unsafe practices associated with the trafficking, smuggling or transport of migrants by sea*.

¹ <http://www.imo.org/en/OurWork/Facilitation/personsrescued/Pages/Default.aspx>

Furthermore, MSC 96 had also instructed the Secretariat to provide any information received relating to the effectiveness of the reporting information in the appendix of MSC.1/Circ.896/Rev.2.

7.7 The Committee noted the outcome of the Symposium on Migration by Sea held at the World Maritime University in Malmö on 26 and 27 April 2016, which brought together a range of organizations, subject-matter experts and academics to address a range of issues related to mixed migration by sea. Five panels discussed an assessment of migration by sea, human rights in relation to migration, migrants and human trafficking by sea, safety and security aspects of migration by sea and international law related to liability and insurance.

7.8 The Symposium identified 10 critical needs. These were to:

- .1 maintain pressure on the United Nations to look again at safe refuges for migrants before they embark, to convey asylum seekers and the most vulnerable to safety in proper craft (i.e. ferries), thus removing them from the hands of traffickers and people smugglers;
- .2 recognize the welfare of seafarers who may be traumatized by horrific rescue missions;
- .3 better resource reception facilities, not leaving coastal States to cope with the burdens on their own;
- .4 have more practical and pragmatic asylum policies;
- .5 look more closely at push factors to stop being so squeamish and politically correct about often appallingly bad governance and corruption in countries driving their people away;
- .6 learn from each other and to see the value of bilateral and inter-agency cooperation at an operational level;
- .7 have more capacity-building, technology transfer and help those less capable around the world with what is being learned at sea and ashore in the current crisis;
- .8 have regular briefings and more transparency to dispel rumours, which can travel fast in an era of instant communications and can affect migrant reactions;
- .9 improve liaison between government agencies and shipping companies (as is done by the Information Fusion Centre (IFC) in Singapore), which is clearly useful and might be transferred elsewhere with advantage; and
- .10 provide masters of ships with the maximum amount of support in their rescue missions, from all interests, so that they have no fears or doubts about their need to intervene.

7.9 The Committee expressed its appreciation to the WMU for organizing this important conference. Further details of the Symposium can be found on the WMU website at <http://www.wmu.se/news/symposium>, and presentations can be downloaded from the WMU "Maritime Commons" platform at http://commons.wmu.se/migration_by_sea.

7.10 The Committee noted that the United Nations Security Council had adopted, on 6 October, resolution 2312 (2016), which extends the provisions of resolution 2240 (2015) on measures to fight against migrant smuggling and human trafficking and prevent loss of life in the high seas off Libyan Coast for a further period of 12 months. The full text of the resolution in the six official languages of the United Nations may be downloaded from: [http://www.un.org/en/ga/search/view_doc.asp?symbol=S/RES/2312\(2016\)](http://www.un.org/en/ga/search/view_doc.asp?symbol=S/RES/2312(2016)).

7.11 The Committee noted that since FAL 40 the Secretariat had participated in the conference on Maritime Security and Migrant Protection in the Bay of Bengal and Andaman Sea, held in Jakarta on 26 and 27 July 2016, and the United Nations General Assembly High-level Summit for Refugees and Migrants held at the United Nations Headquarters in New York on 19 September 2016. The Committee was further informed that the Secretary-General had used the International Seapower Symposium, a gathering of over 100 chiefs of navies and coastguards, held at the United States Naval War College in October 2016, to recognize the significant contributions of ships from many of the world's navies and coastguards to the rescue of mixed migrants by sea.

7.12 The Committee noted that between MSC 96 (May 2011) and MSC 97 (November 2016), only two incidents, using the information included in the appendix to MSC.1/Circ.896/Rev.2, had been reported by one Member State via the facilitation module in GISIS, and no information of relevance to the SUA provisions of MSC.1/Circ.896/Rev.2 had been provided.

7.13 The Committee noted that MSC 97 had noted that no documents had been submitted on this agenda item, either to MSC 96 or to MSC 97.

7.14 The Committee noted that MSC 97, taking into account that the humanitarian crisis in the Mediterranean region was far from being resolved, had invited Member States and international organizations to submit documents to the next session, and encouraged Member States to report the incidents using the information included in the appendix to MSC.1/Circ.896/Rev.2 via the facilitation module in GISIS.

7.15 The Committee, noting that no documents had been submitted on this agenda item to the last sessions, concurred with the decision of MSC 97, agreed to extend the target completion date for this agenda item to 2018, and invited Member States and international organizations to submit documents to the next session, and encouraged Member States to report incidents with the information included in the appendix to MSC.1/Circ.896/Rev.2 via the facilitation module in GISIS².

8 CONSIDERATION AND ANALYSIS OF REPORTS AND INFORMATION ON PERSONS RESCUED AT SEA AND STOWAWAYS

8.1 The Committee recalled that FAL 40 had encouraged Member States and international organizations to make use of the Global Integrated Shipping Information System (GISIS) modules³ for uploading data and consulting information.

Consideration and analysis of reports and information on stowaways

8.2 The Committee recalled that FAL 40 had been informed by the Secretariat of some improvements introduced in the interface of the stowaway module in the GISIS system, to facilitate the upload of the information as well as for the production of reports on stowaways,

² Details of the joint platform were promulgated in Circular Letter No.3569, issued on 15 July 2015.

³ Details of the module for Facilitation in GISIS were promulgated by Circular Letter No.3281, on 28 June 2012, and Circular Letter No.3476, on 22 July 2014.

and taking into account the new facility of GISIS, FAL 40 had agreed to discontinue the issue of quarterly list of incidents of stowaways and circulars on annual statistics of the incidents of stowaways for the calendar years.

8.3 The Committee noted that the details of the improvements introduced in the interface of the stowaway module in the GISIS system had been promulgated by Circular Letter No.3655 dated 13 June 2016. This Circular Letter revokes partially Circular Letter No.3281 with respect to the reports on stowaway incidents.

8.4 In terms of numbers of stowaways, the cases reported to the Organization involved 2,052 stowaways in 2008, 1,070 in 2009, 721 in 2010, 189 in 2011, 64 in 2012, 203 in 2013, 120 in 2014, 80 in 2015 and 163 in 2016.

Stowaway cases and stowaways

| Year | 2010 | 2011 | 2012 | 2013 | 2014 | 2015 | 2016 |
|----------------|------|------|------|------|------|------|------|
| Stowaway cases | 253 | 73 | 90 | 70 | 61 | 28 | 55 |
| Stowaways | 721 | 193 | 166 | 203 | 120 | 80 | 163 |

8.5 The Committee noted that the total number of reports received by the Organization until 31 December 2016 was 4,514, which involved 14,113 stowaways.

8.6 The Committee noted the fact that, despite the new facility provided in GISIS, the downward trend of notifications to IMO was pronounced, and the number of reports were very low and therefore the statistics were not very reliable.

8.7 The Committee recalled resolution A.1074(28) on *Notification and circulation through the Global Integrated Shipping Information System (GISIS)*, and urged Member States and international organizations to provide timely and accurate information on stowaway cases to IMO making use of the GISIS module.

8.8 The International Group of Protection and Indemnity Associations (P&I Clubs) informed the Committee that a third data collection had been carried out for the policy year 2014-2015, following the information provided to FAL 36 (FAL 36/6) and FAL 38 (FAL 38/6/2). A full analysis of this data will be published on the International Group's website (www.igpandi.org) in due course.

8.9 According to this information, the figures collected showed a significant decrease in the numbers of incidents and stowaways, and the total cost had also decreased. As the cost per incident/stowaway had not decreased significantly, the reduction in total cost was mainly due to the decrease in the number of incidents/stowaways.

8.10 The P&I Clubs informed the Committee that in respect to the ports of embarkation of the stowaways, it was noteworthy that European ports featured significantly for the first time. On the other hand, there had been a significant reduction in the number of stowaway incidents in some of the ports where IMO had organized regional seminars, suggesting that this had been an effective method of tackling this issue.

8.11 The Committee expressed appreciation to the P&I Clubs for this information.

8.12 The P&I Clubs informed the Committee that details of the third data collection exercise would be reported to FAL 42.

8.13 Following the request of one delegation on the need to review the existing resolution FAL.11(37) on *Revised guidelines on the prevention of access by stowaways and the allocation of responsibilities to seek the successful resolution of stowaway cases*, to reflect the amendments adopted by FAL 40 to the annex to the FAL Convention, the Committee agreed to review it.

8.14 The Committee considered that the above-mentioned review could be treated as a minor correction without requiring a new output (in accordance with the understanding reflected in the summary of decisions at C/ES.27 (C/ES.27/D, paragraph 3.2(vi))), and agreed to instruct the Secretariat to prepare a revised version of the resolution for the consideration of the Committee at the next session.

8.15 The Committee, noting that MSC had adopted a corresponding resolution, MSC.312(88) on *Revised guidelines on the prevention of access by stowaways and the allocation of responsibilities to seek the successful resolution of stowaway cases*, agreed to inform MSC about the decision adopted by this Committee, in order that MSC could consider the need to review resolution MSC.312(88), if appropriate.

Consideration and analysis of reports and information on persons rescued at sea

8.16 The Committee recalled that FAL 40 had noted the launch, on 6 July 2015, of the new inter-agency platform for information sharing on migrant smuggling by sea populated by the IMO Secretariat using the data contained in existing MSC.3 circulars which include publicly accessible data and restricted access information for Member States. Details of the new joint platform were promulgated in Circular Letter No.3569, issued on 15 July 2015.

8.17 The Committee recalled that FAL 40 had noted with concern that since the date of the launch of the platform only one incident had been reported in the joint database on migrant smuggling by sea.

8.18 The Committee recalled that FAL 40 had agreed to encourage Member Governments to provide timely and accurate information on migrant incidents and on suspected smugglers and vessels to the Organization via the facilitation module in GISIS.

8.19 The Committee noted with concern that since the date of the launch of the platform only four incidents had been reported in the joint database on migrant smuggling by sea.

8.20 The Committee reiterated its encouragement to Member Governments to provide timely and accurate information on migrant incidents and on suspected smugglers and vessels to the Organization via the facilitation module in GISIS.

9 GUIDELINES ON THE FACILITATION ASPECTS OF PROTECTING THE MARITIME TRANSPORT NETWORK FROM CYBERTHREATS

9.1 The Committee recalled that FAL 40, recognizing that MSC was responsible for maritime security, had agreed that, in order to avoid duplication, proper coordination with MSC was needed to develop a single set of non-mandatory cyber risk management guidelines, including the protection of trade-related information.

9.2 The Committee recalled that FAL 40 had agreed that the Committee had a role in the Organization's response to the growing cyberthreats, and had important responsibilities related to the management of risks associated with cyberthreats in respect to facilitation, such as MSWs, processes for electronic certificates and data exchange between ships and shore, pre-arrival information based on the Convention and processes involving ship-port interface.

9.3 The Committee recalled that FAL 40 had agreed that, should MSC decide to develop guidelines on cybersecurity, this should be done as joint FAL/MSC guidelines, to avoid duplication, and the principles of those guidelines could be applied to all stakeholders, including both the ship and the shore side. FAL 40 had further agreed to extend the target completion date for this agenda item to 2017, owing to the need to await the outcome of MSC on this issue, and had invited Member States to present concrete proposals to FAL 41 on the facilitation aspects that should be included in the possible joint guidelines on cybersecurity, taking into account the outcome of MSC 96.

9.4 The Committee recalled that MSC 96 had approved MSC.1/Circ.1526 on *Interim guidelines on maritime cyber risk management*, with the understanding that they could be subsequently revoked and superseded by a joint FAL/MSC circular once the work of FAL 41 on facilitation aspects was completed.

9.5 The Committee recalled that MSC 97 had considered the proposal to develop a mandatory instrument to ensure consistent application of cybersecurity measures and procedures on board ships and on shore-based systems interfacing with ships, and agreed to wait for FAL 41 to complete the work on facilitation aspects before giving any further consideration to the possible mandatory nature of the Guidelines. In this context, the Committee had invited interested Member States to submit a proposal for a new output to a future session of the Committee for consideration, if so required.

9.6 Taking into account that the current interim guidelines already included facilitation aspects and that no documents had been submitted on this agenda item, the Committee decided not to discuss any further amendments to MSC.1/Circ.1526.

9.7 The Committee approved a joint MSC-FAL.1 Circular on *Guidelines on maritime cyber risk management*, as set out in annex 1 of this report, subject to concurrent decision of MSC 98.

9.8 The Committee agreed to notify the Council that action on this agenda item had now been completed.

10 ANALYSIS AND CONSIDERATION OF RECOMMENDATIONS TO REDUCE ADMINISTRATIVE BURDENS IN IMO INSTRUMENTS INCLUDING THOSE IDENTIFIED BY THE SG-RAR

10.1 The Committee recalled that C 113 had requested the relevant committees to review administrative requirements within their purview and to consider how to proceed with the outcome of the work of the Ad Hoc Steering Group on Reducing Administrative Requirements (SG-RAR), with a view to developing appropriate outputs to be included in the High-level Action Plan (HLAP) for 2016-2017.

10.2 The Committee also recalled that FAL 40 had noted that although the nine requirements under the Committee's purview related to facilitation-related IMO instruments had not been identified by stakeholders as an administrative burden specifically, they were found by the SG-RAR to be similar to the requirements that were deemed to be administrative burdens in relation to conventions under the purview of other committees (as set out in document C 113/11, appendix 6), and, therefore, could benefit from review by the FAL Committee.

10.3 The Committee recalled that FAL 40 had instructed the Secretariat to analyse the information in the annex to document FAL 40/17/1, taking into account the recent decisions by A 28 concerning reporting through GISIS (resolution A.1074(28)) and any output on the issues from MEPC 69 and MSC 96.

10.4 Having considered document FAL 41/10 (Secretariat) providing the Secretariat's analysis of the information in the annex to document FAL 40/17/1, the Committee:

- .1 encouraged Member Governments to use the GISIS module on "Notifications pursuant to article VIII of the FAL Convention" to fulfil these notification requirements as well as to keep the information they supply up to date;
- .2 encouraged Member Governments to raise any concerns and/or recommendations with regard to the use of this particular GISIS module;
- .3 agreed that no action was necessary with regard to requirements relating to the work of the IMO depositary;
- .4 agreed that no action was necessary with regard to the requirement relating to the responsibility of the Secretary-General to provide information to the signatory parties regarding cases of acceptance, accession, denunciation etc., because the existing GISIS module on "Status of Treaties" could provide this information;
- .5 agreed to develop a circular to recommend to public authorities to provide information to the master of a vessel on their requirements and procedures needed to put sick or injured persons ashore in order to facilitate the process (Standard 2.21); and
- .6 agreed that no action should be taken on requirements provided by SG-RAR that had no specified recommendations or comments (Standards 3.3.6 and 4.6.1).

10.5 The Committee agreed to notify the Council that action on this agenda item had now been completed.

10.6 The Committee approved FAL.6/Circ.17 on Provision of information to the master of a vessel needing to put sick or injured persons ashore.

11 TECHNICAL COOPERATION ACTIVITIES RELATED TO FACILITATION OF MARITIME TRAFFIC

Activities relevant to the FAL Convention

11.1 The Committee recalled that TC 65 had approved the Integrated Technical Cooperation Programme (ITCP) for 2016-2017, which includes several activities relevant to the FAL Convention to be implemented during the biennium.

11.2 The Committee considered document FAL 41/11 (Secretariat), which reports on the status of activities relevant to the implementation of the FAL Convention, as amended, conducted under the ITCP in the period from December 2015 to December 2016, and noted that:

- .1 two regional seminars were held in Guatemala and Fiji;
- .2 two national seminars were held in Fiji and in the Philippines to promote accession to the FAL Convention and to encourage better implementation of the FAL Convention. These national seminars offered a better understanding of the FAL Convention, electronic means for the clearance of ships and the use of the single-window concept. The seminars also focused on improving the coordination between public authorities and the private sector in ports; and
- .3 other important projects related to facilitation included the Demonstration Project that had been approved by TC 62, with the aim of "showing the potential role of maritime transport facilitation in the reduction of poverty (MDG 1)", which was implemented in Cameroon from 2013 to 2015. The implementation of the recommendations of the study carried out by the Secretariat had the potential to make a positive contribution to improving maritime trade facilitation in Cameroon.

11.3 The Committee noted that TC 66 had thanked Cameroon for sharing with the IMO membership the experience they had gained from the implementation of the project.

11.4 The delegation of Cameroon expressed appreciation to IMO for the implementation of the project, and informed the Committee that, following TC 66, Cameroon was in contact with the Secretariat to implement the additional technical assistance to enable the country to implement the recommendations of the consultants.

11.5 The delegation of Thailand informed the Committee on the upcoming regional seminar on Facilitation of International Maritime Traffic, organized by IMO and Thailand, which would be held in Bangkok from 22 to 25 May 2017, with the participation of Brunei Darussalam, Cambodia, Indonesia, Malaysia, Myanmar, Papua New Guinea, the Philippines, Singapore, Thailand, Timor-Leste and Viet Nam.

11.6 The Committee further noted that a national seminar on the Facilitation of International Maritime Traffic had been held in Togo in January 2017.

Proposed thematic priorities of the ITCP for 2018/2019 biennium

11.7 The Committee recalled that FAL 39 had approved thematic priorities for the ITCP in relation to FAL matters for the 2016/2017 biennium. Subsequently the Technical Cooperation Committee, at its sixty-fifth session in 2015, approved the ITCP for 2016-2017, which was based on the thematic priorities agreed by the Committees and the corresponding needs of developing countries.

11.8 The Committee noted that TC 67, to be held in July 2017, was expected to approve the ITCP for 2018-2019, which would be developed based on the assessed needs of the beneficiaries, the approved work programme of the Organization, the interests of developing partners and the thematic priorities agreed by the Committees and the corresponding needs of developing countries.

11.9 In that regard, although the main needs of countries/regions had not changed substantially and the eight thematic priorities presented for consideration by the Committee at FAL 36 would continue to apply to most regions, the Secretariat, based on experience gained from the delivery of technical assistance, suggested, for the Committee's consideration, the seven highest thematic priorities for the 2018/2019 biennium as set out in the annex to document FAL 41/11/1.

11.10 The Committee agreed to merge thematic priorities 2 and 7 approved by FAL 36, with the following outcome: "Fostering the wider acceptance of the FAL Convention and its effective and efficient implementation for the facilitation of international maritime traffic also addressing the special needs of Least Developed Countries (LDCs) and Small Island Developing States (SIDS) and, in particular, the maritime transport needs of Africa".

11.11 The Committee noted that, bearing in mind the purposes and objectives of the FAL Convention, it might be best to focus during the 2018-2019 biennium on addressing FAL-related needs at a national level, which entailed, in comparison to regional events, a significantly lower per participant expenditure ratio. However, the need to conduct regional events, where appropriate, was also recognized. The identification of the FAL-related needs would be based on the information provided through the Country Maritime Profiles (CMPs). As of 29 March 2017, 94 Member States, representing some 54% of the Member States had completed their CMP records. In this regard, the Committee urged Member States to ensure that their FAL-related technical assistance needs were well reflected in their CMPs and to ensure that this information was kept updated.

11.12 The Committee approved the selected thematic priorities for the ITCP for the 2018-2019 biennium, as set out in annex 2, and instructed the Secretariat to forward these to the Technical Co-operation Committee for consideration for inclusion in the ITCP.

12 RELATIONS WITH OTHER ORGANIZATIONS

Relations with non-governmental organizations

12.1 In considering document FAL 41/12 (Secretariat), the Committee noted the relevant decisions of C 116 and C 117 in respect of relations with non-governmental organizations and applications for consultative status and related matters.

13 APPLICATION OF THE COMMITTEE'S PROCEDURES ON ORGANIZATION AND METHOD OF WORK

Revised Rules of Procedure of the Committee

13.1 The Committee noted that C 116, having considered document C 116/4/3 (Bahamas) on the terms of office of committee chairs and gender equality, agreed to:

- .1 harmonize the terms of office in the rules of procedure of committees (and by extension sub-committees) and to limit the total term of office of the Chair and Vice-Chair to five years, that is the Chair and Vice-Chair would be eligible for re-election for up to four consecutive terms in office; and requested the relevant committees to amend their rules of procedure accordingly, and to give consideration to flexibility with regard to the total term of office, should special circumstances dictate; and
- .2 establish the use of the new gender-neutral term "Chair" in the Rules of Procedure of the committees, and requested the Council and the relevant committees to amend their rules of procedure accordingly.

13.2 The Committee noted that the Chairs of MSC and MEPC, having considered C 116's aforementioned request, had agreed to revise and harmonize the Rules of Procedure of the two Committees accordingly, so that the same Rules would apply to both Committees.

13.3 The Committee noted that MEPC 70 had approved the Rules of Procedure of the MEPC Committee; however, MSC 97, when considering document MSC 97/18/1, did not approve them, and invited Member States to submit documents to MSC 98 to comment on the following rules:

- .1 rule 2: number of Member States required to request an extraordinary session;
- .2 rule 14.3: items to be included in the provisional agenda owing to a proposal by a Member State; and
- .3 rule 34: number of Member States required for a quorum.

13.4 The Committee noted that the Chair of the Committee had agreed to revise the Rules of Procedure of the Committee, using this opportunity to harmonize the provisions in the Rules of the FAL Committee with the draft Rules of MSC and MEPC, for the benefit of the committees, as well as that of the delegations.

13.5 The Committee considered document FAL 41/13/1 (Chair), which contained a proposal for a revision of the Rules of Procedure of FAL, in line with a relevant request by C 116, and aligned and harmonized with the Rules of Procedure of MEPC and MSC. The Committee further noted that when preparing the draft, the Chair had paid particular attention to:

- .1 limitation of the term of office of the Chair and Vice-Chair to five years, with the possibility of one additional year in exceptional circumstances;
- .2 introduction of the new gender-neutral term "Chair" and related gender-neutral language;
- .3 clarification of the applicability of the Rules to the committees' subsidiary bodies; and
- .4 general review of the rules regarding obsolete and out-of-date provisions.

13.6 The Committee agreed to:

- .1 limit the term of office of the Chair and Vice-Chair to five years, with the possibility of one additional year in exceptional circumstances; and
- .2 introduce the new gender-neutral term "Chair" and related gender-neutral language.

13.7 The Committee considered document FAL 41/13/2 (Cook Islands, United Kingdom and United States), which contained proposals to delete rule 3, which addressed provisions for holding extraordinary sessions of the Committee, and rule 34.1, referring to the number of Member States required to constitute a quorum.

13.8 Following the introduction of document FAL 41/13/2, the Committee noted an intervention by the Secretariat expressing concerns about the proposal to use a higher number of Member States for a quorum, due to the possible negative impact on the use of the Committee's time. The Committee noted a proposal made by the Chair of the Legal Committee in document LEG 104/8/1, that the number should be based on illustrative percentages, vis-à-vis the number of Member States. In 1982, when the original text of the rules was adopted by LEG 48, there were 118 Member States. The minimum thresholds of 15 and 20 in rules 2(b) and 36 represented approximately 13% and 17% of those 118, respectively. Taking into account that the current number of Member States was 172, the Committee considered the proposal to use the same percentages to adjust the thresholds, and the proposed adjustments would be from 15 to 20 (approximately 13% of 172) in rule 3, and from 20 to 30 (approximately 17% of 172) in rule 34.1.

13.9 During the full debate on rule 3 that followed, the following opinions were expressed:

- .1 the FAL Committee had never needed an extraordinary session, the Committee met annually, and given that an extraordinary session would need to be agreed with Council and fitted into the IMO programme of meetings, it was unlikely that an extraordinary session would be able to be arranged before the next regular session anyway, therefore rule 3 could be deleted;
- .2 although the FAL Committee had never needed an extraordinary session, this was not to say that it would never need one and there was no positive reason for ruling it out. In the meantime, there was no need to delete the provision and no harm in leaving the provision within the Rules of Procedure;
- .3 there was a need to harmonize the Rules of Procedure for the FAL Committee with those of other Committees. If other Committees had the provision for convening extraordinary sessions, in the interest of harmonization, so too should the FAL Committee;
- .4 one of the co-sponsors of document FAL 41/13/2 advised the Committee that a similar written proposal to remove the provision for convening extraordinary sessions had been submitted to MSC 98;
- .5 the Chair of MEPC pointed out that MEPC 70 had reviewed and approved new rules of procedure (MEPC 70/18/Add.1 annex 14). Rules 3 and 34 had been retained (15 States and 20 States, respectively);
- .6 there was some discussion on the budgetary consequences of convening an extraordinary session and the likelihood that the Council would need to approve the expenditure; and
- .7 as there was no consensus on what form rule 3 would take, it was proposed to keep the whole document pending until rules 3 and 34 could be resolved.

13.10 As opinions expressed by delegations that spoke were evenly divided, the Committee decided to allow an informal group of interested parties to meet out of hours to try to resolve the issue and report back.

13.11 The Committee then addressed rule 34 in relation to the number of Member States required to form a quorum. During these discussions, the following opinions were expressed:

- .1 noting that document FAL 41/13/2 proposed that "one third of the membership shall constitute a quorum" and that this was in accordance with rule 67 of the Rules of Procedure of the United Nations General Assembly (UNGA), one delegation expressed the view that rule 108 of the UNGA Rules of Procedure would be more appropriate as it referred to committees. Rule 108 refers to 25%;
- .2 concerns were expressed that requiring 33% of the membership would be perilously close to the lowest attendance of FAL;
- .3 a delegation pointed out that attendance figures for FAL dated back to before the Committee was institutionalized and that since then attendance had increased so concerns on not meeting the quorum were reduced;
- .4 concerns were further expressed on the risk that meetings failing to reach a quorum might be cancelled after delegations had travelled long distances, interpreters had been contracted etc., all at great expense;
- .5 some delegations questioned the need to change the number for a quorum. In response one of the co-sponsors expressed the view that the proposals were more about the credibility of the Organization and raising the legitimacy of the committees by making them more inclusive;
- .6 some delegations expressed concern that it was not clear what were the purposes of having a quorum and what would be the consequences of failing to reach a quorum. In this regard, the Committee noted that the current rule 27 (rules 27 and 28 in the draft amended rules) sought to clarify this; and
- .7 a delegation requested clarity on whether the percentage for a quorum referred to the membership of the Organization or to the number of Contracting Governments to the FAL Convention (currently 118). In this regard it was noted that all IMO Member States could participate in decisions of the Committee but only FAL Contracting Governments could vote on changes to the Convention.

13.12 After careful consideration the Committee agreed to a compromise proposal whereby 25% of the Membership (i.e. 43 Member States taking into account the current number of Member States, 172) should constitute a quorum and to amend the Rules of Procedure accordingly.

13.13 The Committee noted that the informal group had been unable to reach consensus and therefore took the following decisions:

- .1 the amendments to the Rules of Procedure other than those to rule 3 were agreed;
- .2 the decisions on rule 3 would be reconsidered by FAL 42 in the light of the decision of MSC 98;

- .3 the agreed amendments to the Rules of Procedure would be held in abeyance until the issue of rule 3 was resolved, whereupon the revised Rules of Procedure of the Facilitation Committee would be adopted, as appropriate;

Amendments to the document on Organization and method of work of the Facilitation Committee

13.14 The Committee recalled that FAL 40 had approved FAL.3/Circ.211 on the *Organization and method of work of the Facilitation Committee* for circulation, which revoked FAL.3/Circ.210.

13.15 The Committee recalled that FAL 40 had agreed to advise the other committees that FAL 40 had reviewed its Guidelines on the organization and method of work to include mandatory language in its document in order to align with the document on *Application of the Strategic Plan and the High-level Action Plan of the Organization* adopted by resolution A.1099(29).

13.16 The Committee recalled that FAL 40 had agreed further to amend the title of the agenda item on "Application of the Committee's Guidelines" to "Application of the Committee's procedures on Organization and method of work", to be consistent with the above-mentioned decision.

13.17 The Committee noted the progress made by the other committees on the review of their respective guidelines on the organization and method of work based on resolution A.1099(29), as follows: LEG 103 had approved LEG.1/Circ.8, on *Organization and method of work of the Legal Committee*; MEPC 70 and MSC 97 had approved MSC-MEPC.1/Circ.5 on *Organization and method of work of the Maritime Safety Committee and the Marine Environment Protection Committee and their subsidiary bodies*, including the use of gender-neutral terms; TC 66 had decided, in view of the limited time available, to consider this subject at its next session.

13.18 The Committee, when considering the decision of C 116 to use the new gender-neutral term "Chair" in the Rules of Procedure of the Committees, as referred to in document FAL 41/13 (Secretariat), agreed to replace the words "Chairman" and "Vice-Chairman" with the words "Chair" and "Vice-Chair" in the document on the *Organization and method of work of the Facilitation Committee*. The Committee instructed the Secretariat to prepare and circulate the revised *Organization and method of work of the Facilitation Committee* by means of a new FAL Circular.

14 WORK PROGRAMME

Proposal for new output for revision of the IMO Compendium on Facilitation and Electronic Business

14.1 The Committee considered document FAL 41/14 (United States, WCO, UNECE, ISO), proposing the revision of the IMO Compendium on Facilitation and Electronic Business, and agreed to include in the post-biennial agenda of the Committee and the provisional agenda for FAL 42 an output on "Review and revision of the IMO Compendium on Facilitation and Electronic Business", with two sessions needed to complete the item.

Extend the existing output "Review and update the Explanatory Manual to the FAL Convention to reflect any amendments to the annex to the FAL Convention"

14.2 The Committee considered document FAL 41/14/1 (Marshall Islands), proposing to amend the existing output 8.0.1.2, "Review and update the Explanatory Manual to the FAL Convention to reflect any amendments to the annex to the FAL Convention", and agreed to replace it with: "Review and update the Explanatory Manual to the FAL Convention", to include it in the post-biennial agenda of the Committee and the provisional agenda for FAL 42 and to extend the target completion year to 2019.

Proposal for new output to develop Performance Standards for electronic signature

14.3 The Committee considered document FAL 41/WP.5, Annex 2, prepared by the working group on electronic means for the clearance of ships, which contains the justification for a new output to develop performance standards for electronic signature, and agreed to include in the post-biennial agenda of the Committee and the provisional agenda for FAL 42 an output to "Developing guidance for authentication, integrity and confidentiality of content for the purpose of exchange via maritime single window", with two sessions needed to complete the item.

Proposal for new output to review the Guidelines for setting up a single window system in maritime transport (FAL.5/Circ.36)

14.4 The Committee considered document FAL 41/WP.5, Annex 1, prepared by the working group on electronic means for the clearance of ships, which contains the justification for a new output to update the Guidelines for setting up a single window system in maritime transport, and agreed to include in the 2017-2018 biennial agenda of the Committee and the provisional agenda for FAL 42 an output to "Update the guidelines for setting up a single window system in maritime transport", with a target completion year of 2019.

Endorsement of new outputs

14.5 In accordance with the relevant provisions of the document on the *Application of the Strategic Plan and the High-level Action Plan of the Organization* (resolution A.1099(29)), the Committee invited C 118 to endorse the following new outputs agreed by the Committee:

- .1 Review and revision of the IMO Compendium on Facilitation and Electronic Business (paragraph 14.1);
- .2 Developing guidance for authentication, integrity and confidentiality of content for the purpose of exchange via maritime single window (paragraph 14.3); and
- .3 Update the guidelines for setting up a single window system in maritime transport (paragraph 14.4).

14.6 The Committee invited C 118 to endorse the amended description of the existing output 8.0.1.2, "Review and update the Explanatory Manual to the FAL Convention" (paragraph 14.2).

Substantive items for inclusion in the agenda for FAL 42

14.7 The Committee amended and approved the list of substantive items to be included in the provisional agenda for FAL 42, as set out in annex 3.

Establishment of working and drafting groups at FAL 42

14.8 The Committee, taking into account the decisions made under various agenda items, agreed that working groups on the following items should be established at FAL 42:

- .1 Electronic business; and
- .2 Review of the Explanatory Manual to the FAL Convention

14.9 The Committee recognized that, at the current stage, it was not possible to predict if additional drafting groups should be established at FAL 42.

14.10 The Committee further agreed that, should the need arise, FAL 42 should determine any other working or drafting groups that might need to be established when considering the various agenda items. The Committee instructed the Secretariat, in consultation with the Chair, to prepare and circulate the provisional timetable for FAL 42 and a list of the likely working or drafting groups that might need to be established for consideration by FAL 42.

Date and venue of the next session

14.11 The Committee noted that FAL 42 had been tentatively scheduled to take place from 5 to 8 June 2018 at the IMO Headquarters, 4 Albert Embankment, London, United Kingdom.

Status of outputs included in the High-level Action Plan for 2016-2017

14.12 The Committee endorsed the status of planned outputs for the 2016-2017 biennium, which had been prepared by the Secretariat in consultation with the Chair, and the Committee consequently invited C 118 to note the biennial status report of the Facilitation Committee, as set out in annex 4.

Post-biennial agenda of the Committee

14.13 The Committee endorsed the status of planned outputs accepted as post-biennial outputs for the 2018-2019 biennium, which had been prepared by the Secretariat in consultation with the Chair, and the Committee consequently invited C 118 to note the post-biennial agenda of the Facilitation Committee, as set out in annex 5.

Alignment of the outputs of the FAL Committee with the new Strategic Plan of the Organization for 2018-2023, including the proposed outputs of the FAL Committee for the 2018-2019 biennium

14.14 The Committee recalled that FAL 40 had noted the decision of A 29 to develop a new strategic framework for the Organization for 2018-2023, output number 4.0.3.1, with a target completion year of 2017.

14.15 The Committee recalled that the Secretariat had advised FAL 40 on its intention to submit a document with the revised outputs of the Committee in line with the new strategic framework to FAL 41, for its consideration and proper action, and its subsequent report to C 118 accordingly.

14.16 The Committee noted that C 117 had agreed to a new Strategic Plan for the period 2018-2023, and a new Vision Statement, overarching principles to be taken into account in all of the Organization's work and seven Strategic Directions as follows:

- .1 improve implementation;

- .2 integrate new and advancing technologies in the regulatory framework;
- .3 respond to climate change;
- .4 engage in ocean governance;
- .5 enhance global facilitation and security of international trade;
- .6 ensure regulatory effectiveness; and
- .7 ensure organizational effectiveness.

14.17 The Committee noted the following information provided by the Secretariat on the new Strategic Plan (SP), which was expected to be adopted at A 30:

- .1 the overall aim of the redevelopment of the SP is to simplify procedures and ensure it continues to serve the Organization, by for example assisting in measuring performance;
- .2 the new structure of the SP does not change the ongoing work in the committees and sub-committees;
- .3 the SP should be focused over a six-year period, and it will be completely redeveloped every six years in order to take into account changing priorities. However, in order to ensure the Organization remains flexible and able to respond to emerging issues, the SP can be revised on a biennial basis, if necessary;
- .4 the new strategic directions will not cover all areas of work of the Organization, but only those that are considered to be strategic for the period in question. This entails that every six years the SP will be completely redeveloped (in contrast to the current Plan, which is a rolling plan updated every two years, but without any major reviews) in order to take into account changing priorities. However, in order to ensure that the Organization remains flexible and able to respond to emerging issues, the SP can be revised on a biennial basis, if necessary;
- .5 not all outputs currently on the High-level Action Plan will be aligned to a strategic direction;
- .6 those outputs that are aligned to one or more strategic directions will directly contribute to the realization of the particular strategic direction;
- .7 a number of performance indicators will be developed to monitor and measure progress in achieving the strategic directions;
- .8 outputs that are not aligned to strategic directions will still appear on the list of outputs along with those that are aligned to strategic directions, in order for all organs to review and consider their workload throughout the biennium;
- .9 the outputs of the FAL Committee for the 2018-2019 biennium aligned to the new strategic directions agreed by C 117 are set out in document FAL 41/WP.3, annex 4;

- .10 outputs should be recategorized according to their status as strategic and non-strategic;
- .11 a challenge in ensuring a consistent alignment is that some outputs are not phrased to actually describe the ongoing work. It would therefore be beneficial to review outputs to ensure the descriptions represent the actual work to be undertaken in the 2018-2019 biennium; and
- .12 to ensure a smooth implementation of the new strategic planning process, the Council has requested the Secretariat to prepare a revised version of the document on Application of the Strategic Plan and the High-level Action Plan of the Organization (resolution A.1099(29)). The draft of this will be presented to C 118, along with the outputs for all organs for the 2018-2019 biennium aligned to the new strategic directions, and the proposed performance indicators that will be used to measure progress in achieving the strategic directions. A working group will be convened during C 118 to consider these matters with the aim of the Council to forward the new Strategic Plan to the Assembly for adoption.

14.18 The Committee approved the outputs of the FAL Committee for the 2018-2019 biennium aligned to the new strategic directions agreed by C 117, as set out in annex 6 for submission to C 118.

15 ELECTION OF CHAIR AND VICE-CHAIR FOR 2018

The Committee, in accordance with its Rules of Procedure, re-elected Mr. Yury Melenas (Russian Federation) to the post of Chair and Mrs. Marina Angsell (Sweden) to the post of Vice-Chair for 2018, by acclamation.

16 ANY OTHER BUSINESS

Creation of a collaborative web-based workspace

16.1 The Committee recalled that FAL 40 had considered the proposal by a delegation to create a collaborative web-based workspace, as a common virtual meeting area for working groups, correspondence groups and similar collaboration groups to share documents amongst their members such as long comments, draft guidelines, industry standards, draft reports, etc. and requested the Secretariat to investigate the implications of this proposal, including the budget implications, and to inform the Committee and other IMO bodies accordingly.

16.2 The Committee considered document FAL 41/16/2 (Secretariat), and noted that the project could be developed internally by the IT department of the Organization, with some budgetary implications. In this context, in order to make a realistic estimation of the costs, it would be necessary to clearly define the scope, indicating the range of services the system would provide taking into account the users' needs.

16.3 The Committee recognized the potential benefits of implementing a collaborative web-based workspace in the Organization, and noted that other international organizations already had similar systems in place. The Committee further noted the concerns expressed by some delegations on aspects such as whether the system would be applicable for working groups, the impact of the system on the current practice of correspondence groups and working groups, and on the need for further information on budgetary implications. Based on these concerns, the Committee agreed that this discussion should not be considered further by committees but by the Council.

16.4 The Committee agreed to inform C 118 accordingly, and invited Member States to submit proposals for the creation of a collaborative web-based workspace to C 118.

16.5 The Committee instructed the Secretariat to present further information to the Council, with details on the collaborative web-based workspace, in particular, on accessibility to the system and the budgetary implications for developing and maintaining the system.

List of certificates and documents required to be carried on board

16.6 The Committee recalled that FAL 38 had approved the revised list of certificates and documents required to be carried on board ships as FAL.2/Circ.127, subject to concurrent decision of MSC 92 and MEPC 65. These Committees concurred with the FAL 38 decision, and approved it as FAL.2/Circ.127-MEPC.1/Circ.817-MS.1/Circ.1462.

16.7 The Committee recalled that LEG 103 had requested the Secretariat to include in the future revised version of the list of certificates and documents required to be carried on board ships some insurance certificates (2002 Athens Convention, the 2007 Nairobi Wreck Removal Convention and the 2010 HNS Convention).

16.8 The Committee recalled that Ill 3 had agreed not to include the insurance certificates under the 2010 HNS Convention, as the 2010 HNS Convention had not yet entered into force, and agreed further to the draft amendments to FAL.2/Circ.127-MEPC.1/Circ.817-MS.1/Circ.1462 on *List of certificates and documents required to be carried on board ships*. The Sub-Committee had requested the Secretariat to prepare a consolidated draft circular, and to submit it to MEPC 70 and MSC 97 for approval, taking into account the need to involve the Facilitation and Legal committees, as appropriate, as a joint FAL, MSC, MEPC and LEG circular.

16.9 The Committee recalled that MEPC 70 and MSC 97 had approved, subject to concurrent approval by FAL 41 and LEG 104, the consolidated draft FAL.2-MEPC.1-MS.1-LEG.1 circular on List of certificates and documents required to be carried on board ships, to supersede FAL.2/Circ.127-MEPC.1/Circ.817-MS.1/Circ.1462, as a joint FAL, MSC, MEPC and LEG circular.

16.10 The Committee considered the consolidated draft list of certificates and documents required to be carried on board ships set out in the annex of document FAL 41/16 (Secretariat), and the Committee approved, subject to concurrent approval by LEG 104, the consolidated draft FAL.2-MEPC.1-MS.1-LEG.1 circular on *List of certificates and documents required to be carried on board ships*, as set out in annex 7 of this report, to supersede FAL.2/Circ.127-MEPC.1/Circ.817-MS.1/Circ.1462, as a joint FAL, MSC, MEPC and LEG circular.

List of Codes, recommendations, guidelines and other non-mandatory instruments related to the work of the Facilitation Committee

16.11 The Committee considered document FAL 41/16/1 (Secretariat), providing information on the decision of FAL 37 to authorize the Secretariat to develop the list of facilitation-related codes, recommendations, guidelines and other facilitation-related, non-mandatory instruments for posting on the IMO website⁴, with updates to be undertaken by the Secretariat. The document also provides information on the decisions adopted by LEG, MSC and MEPC Committees to migrate the list of codes, recommendations, guidelines and non-mandatory instruments under their respective purview, into the GISIS module on non-mandatory instruments.

⁴ <http://www.imo.org/en/OurWork/Facilitation/docs/Pages/default.aspx>

16.12 The GISIS module on non-mandatory instruments (website: <https://gisis.imo.org/Public/INSTR/Default.aspx>) was released to the public and Member States in January 2015. It includes the updated list of codes, recommendations, guidelines and other safety and security-related, non-mandatory instruments and will be further developed to include the updated list of codes, recommendations, guidelines and other non-mandatory instruments related to the work of the Legal Committee, the Marine Environment Protection Committee and, in particular, the Facilitation Committee, subject to the approval of the Committee.

16.13 The Committee noted the information provided and agreed to:

- .1 authorize the Secretariat to migrate the consolidated list, as contained in the annex to document FAL 41/16/1 into the GISIS module and to update it directly thereafter;
- .2 when developing a new instrument, consider the consequential impact of its approval and/or adoption on existing non-mandatory instruments. If so required, include a statement in any new instruments approved in the future so that the list could be kept updated conveniently; and
- .3 invite Member States, IGOs and NGOs to provide the Secretariat with feedback in order to maintain the accuracy of the lists, while issues of a more sensitive nature would be reported to the relevant Committee by the Secretariat for consideration.

List of existing publications related to the ship/port interface

16.14 The Committee considered document FAL 41/16/3 (ICHCA) proposing to update the list of existing publications related to the ship/port interface (FAL.6/Circ.14) in the context of the proposed update of the publications related to the work of the Facilitation Committee.

16.15 The Committee agreed to instruct the Secretariat to make a comprehensive review of FAL.6/Circ.14, in conjunction with other interested organizations as appropriate and to inform FAL 42 accordingly.

Ship/Port Interface

16.16 The Committee considered document FAL 41/16/4 (ICHCA), containing the proposal to reintroduce the previous standing agenda item "ship/port interface" in the agenda of the FAL Committee.

16.17 During the ensuing discussions, the following views were expressed:

- .1 matters related to the ship/port interface should be addressed by this Committee, especially taking into account the significant number of accidents during operations in the ship/port interface;
- .2 standing items in the agenda should be avoided; and
- .3 proposals for new outputs should be submitted in accordance with the Organization and method of work of the Committee and be framed in SMART terms.

16.18 The Committee noted the information provided and the subsequent discussions, and recalled the need for interested Member States and international organizations to comply with the document on the Organization and method of work of the Committee when submitting proposals for new outputs.

Review of the ICAO/IMO publication on international signs to provide guidance to persons at airports and marine terminals

16.19 The Committee recalled that FAL 40 had noted the information provided by the Secretariat on the plan by the ICAO Secretariat to present a progress report to the meeting of the ICAO Facilitation Panel in April 2016, and to continue its work intersessionally, with the aim of completing it by summer 2017.

16.20 The Committee recalled that FAL 40 had noted the concerns expressed by some delegations that the signs under consideration with respect to marine terminals were not safety-related and were already fit for purpose. FAL 40 had further agreed to validate the work of ICAO in order to produce a joint publication and had decided to place the item on the post-biennial agenda.

16.21 The Committee noted the information provided by ICAO Secretariat that the working group responsible for the signs publication was still considering the issue, and it would keep the IMO Secretariat informed on the progress of the project.

17 ACTION REQUESTED OF OTHER IMO BODIES

17.1 The Council, at its 118th session, is invited to:

- .1 consider the report of the forty-first session of the Facilitation Committee and, in accordance with Article 21(b) of the IMO Convention, transmit it, with its comments and recommendations, to the thirtieth session of the Assembly;
- .2 note the decisions taken on issues related to the reporting of the place of boarding of stowaways (paragraphs 3.1 to 3.10);
- .3 note the decisions taken in regard to the IMO project on the development of a prototype maritime single window (paragraphs 5.42 to 5.56);
- .4 note the decisions taken in regard to measures to protect the safety of persons rescued at sea (paragraphs 6.1 to 6.4);
- .5 note the decisions taken on issues related to unsafe mixed migration at sea (paragraphs 7.1 to 7.15);
- .6 note the decisions taken with regard to the Guidelines on the facilitation aspects of protecting the maritime transport network from cyberthreats (paragraph 9.1 to 9.8);
- .7 note the decisions taken on issues related to the Analysis and consideration of recommendations to reduce administrative burdens in IMO instruments including those identified by the SG-RAR (paragraph 10.1 to 10.6);
- .8 note the actions taken on issues related to the Rules of procedure of the Facilitation Committee and the organization and method of work for the FAL Committee (paragraphs 13.1 to 13.18);

- .9 endorse the new outputs agreed at the session for inclusion in the High-level Action Plan and priorities for the 2016-2017 biennium (paragraphs 14.5 and 14.6);
 - .10 note the report on the status of outputs for the 2016-2017 biennium (paragraph 14.12 and annex 4);
 - .11 note the updated post-biennial agenda of the Facilitation Committee (paragraph 14.13 and annex 5);
 - .12 note the outputs approved for the 2018-2019 biennium aligned to the new strategic directions agreed by C 117 (paragraph 14.18 and annex 6);
 - .13 note the decisions taken with regard to the creation of a collaborative web-based workspace (paragraph 16.1 to 16.5);
 - .14 note the decisions taken with regard to the List of certificates and documents required to be carried on board (paragraph 16.6 to 16.10); and
 - .15 note the decisions taken with regard to the List of Codes, recommendations, guidelines and other non-mandatory instruments related to the work of the Facilitation Committee (paragraph 16.11 to 16.13).
- 17.2 The Maritime Safety Committee, at its ninety-eighth session, is invited to:
- .1 note that the Committee approved FAL.7/Circ.1, *Unified Interpretation of Appendix 3 to the FAL Convention*, and FAL.2/Circ.50/Rev.3, *Reports on stowaway incidents*, to include port, port facility number, terminal, and berth information when reporting the place of boarding of stowaways (paragraphs 3.3 to 3.10);
 - .2 note the information provided by the Secretariat in respect to the use of electronic certificates by Member States and port State control MoUs (paragraphs 5.34 to 5.37);
 - .3 note the decision to include the output on Measures to protect the safety of persons rescued at sea in the post-biennial agenda of the Committee as no documents have been submitted on this agenda item since FAL 37 and no significant progress has been achieved during these years (paragraph 6.4);
 - .4 note the decisions taken on issues related to unsafe mixed migration at sea, and in particular, the decision to extend the target completion date for this agenda item to 2018 (paragraphs 7.1 to 7.15);
 - .5 note the information provided by the P&I Clubs that there had been a significant reduction in the number of stowaway incidents in some of the ports where IMO had organized regional seminars, suggesting that this had been an effective method of tackling this issue (paragraph 8.10);
 - .6 note the decision of the Committee to instruct the Secretariat to submit to FAL 42 a revised version of resolution FAL.11(37) on *Revised guidelines on the prevention of access by stowaways and the allocation of responsibilities to seek the successful resolution of stowaway cases*, to reflect the amendments adopted by FAL 40 to the annex to the FAL Convention (paragraphs 8.13 to 8.14);

- .7 consider the need to review resolution MSC.312(88) on *Revised guidelines on the prevention of access by stowaways and the allocation of responsibilities to seek the successful resolution of stowaway cases*, to reflect the amendments adopted by FAL 40 to the annex to the FAL Convention (paragraph 8.15);
 - .8 note the decision of the Committee, taking into account that the current interim guidelines already included facilitation aspects and that no documents had been submitted on this agenda item, not to discuss any further amendments to MSC.1/Circ.1526 (paragraph 9.6);
 - .9 note that the Committee approved a joint MSC-FAL.1 Circular on *Guidelines on maritime cyber risk management*, as set out in annex 1 of this report, subject to concurrent decision of MSC 98 (paragraph 9.7 and annex 1);
 - .10 approve a joint MSC-FAL.1 Circular on *Guidelines on maritime cyber risk management* (paragraph 9.7);
 - .11 note that the Committee agreed to a compromise proposal in the Rules of Procedure of the Committee whereby 25% of the Membership (i.e. 43 Member States taking into account the current number of Member States, 172) should constitute a quorum (paragraphs 13.7, 13.8, 13.10 to 13.12);
 - .12 note that FAL 41 agreed the amendments to the Rules of Procedure other than those to rule 3. Rule 3 will be reconsidered by FAL 42 in the light of the decision of MSC 98 and that the amendments to the Rules of Procedure would be held in abeyance until this issue was resolved, whereupon the revised Rules of Procedure of the Facilitation Committee would be adopted, as appropriate (paragraphs 13.9, 13.10 and 13.13);
 - .13 note the decision of the Committee to use the new gender-neutral term "Chair" in the document on the *Organization and method of work of the Facilitation Committee*, and to approve FAL.3/Circ.212 accordingly (paragraph 13.18);
 - .14 note the discussions on the proposal for the creation of a collaborative web-based workspace, and the decision to submit this issue for the consideration of the Council (paragraphs 16.1 to 16.5);
 - .15 note that the Committee approved, subject to concurrent approval by LEG 104, the consolidated draft FAL.2-MEPC.1-MS.1-LEG.1 circular on List of certificates and documents required to be carried on board ships (paragraph 16.10 and annex 7); and
 - .16 note the decisions taken with regard to the List of Codes, recommendations, guidelines and other non-mandatory instruments related to the work of the Facilitation Committee (paragraph 16.11 to 16.13).
- 17.3 The Marine Environment Protection Committee, at its seventy-first session, is invited to:
- .1 note the information provided by the Secretariat in respect to the use of electronic certificates by Member States and Port State Control regimes (paragraphs 5.34 to 5.37);

- .2 note that the Committee agreed to a compromise proposal in the Rules of Procedure of the Committee whereby 25% of the Membership (i.e. 43 Member States taking into account the current number of Member States, 172) should constitute a quorum (paragraphs 13.7, 13.8, 13.10 to 13.12);
 - .3 note that FAL 41 agreed the amendments to the Rules of Procedure other than those to rule 3. Rule 3 will be reconsidered by FAL 42 in the light of the decision of MSC 98 and that the amendments to the Rules of Procedure would be held in abeyance until this issue was resolved, whereupon the revised Rules of Procedure of the Facilitation Committee would be adopted, as appropriate (paragraphs 13.9, 13.10 and 13.13);
 - .4 note the decision of the Committee to use the new gender-neutral term "Chair" in the document on the *Organization and method of work of the Facilitation Committee*, and to approve FAL.3/Circ.212 accordingly (paragraph 13.18);
 - .5 note the discussions on the proposal for the creation of a collaborative web-based workspace, and the decision to submit this issue for the consideration of the Council (paragraphs 16.1 to 16.5);
 - .6 note that the Committee approved, subject to concurrent approval by LEG 104, the consolidated draft FAL.2-MEPC.1-MS.1-LEG.1 circular on List of certificates and documents required to be carried on board ships (paragraph 16.10 and annex 7); and
 - .7 note the decisions taken with regard to the List of Codes, recommendations, guidelines and other non-mandatory instruments related to the work of the Facilitation Committee (paragraph 16.11 to 16.13).
- 17.4 The Technical Cooperation Committee, at its sixty-seventh session, is invited to:
- .1 note the decisions taken in regard to the IMO project on the development of a prototype maritime single window (paragraphs 5.42 to 5.56);
 - .2 note the information provided by the P&I Clubs that there had been a significant reduction in the number of stowaway incidents in some of the ports where IMO had organized regional seminars, suggesting that this had been an effective method of tackling this issue (paragraph 8.10);
 - .3 note that the Committee approved the selected thematic priorities for the ITCP for the 2018-2019 biennium (paragraphs 11.7 to 11.12, and annex 2);
 - .4 note that the Committee agreed to a compromise proposal in the Rules of Procedure of the Committee whereby 25% of the Membership (i.e. 43 Member States taking into account the current number of Member States, 172) should constitute a quorum (paragraphs 13.7, 13.8, 13.10 to 13.12);

- .5 note that FAL 41 agreed the amendments to the Rules of Procedure other than those to rule 3. Rule 3 will be reconsidered by FAL 42 in the light of the decision of MSC 98 and that the amendments to the Rules of Procedure would be held in abeyance until this issue was resolved, whereupon the revised Rules of Procedure of the Facilitation Committee would be adopted, as appropriate (paragraphs 13.9, 13.10 and 13.13);
- .6 note the decision of the Committee to use the new gender-neutral term "Chair" in the document on the *Organization and method of work of the Facilitation Committee*, and to approve FAL.3/Circ.212 accordingly (paragraph 13.18); and
- .7 note the discussions on the proposal for the creation of a collaborative web-based workspace, and the decision to submit this issue for the consideration of the Council (paragraphs 16.1 to 16.5).

17.5 The Legal Committee, at its 104th session, is invited to:

- .1 consider the legal status of the appendices to the FAL Convention and to advise the FAL Committee accordingly, bearing in mind that the final interpretation of whether appendices 1, 2, 3 and 4 to the FAL Convention were part of the FAL Convention was a prerogative of the Contracting Governments to the FAL Convention (paragraphs 3.1 to 3.6);
- .2 note that the Committee agreed to a compromise proposal in the Rules of Procedure of the Committee whereby 25% of the Membership (i.e. 43 Member States taking into account the current number of Member States, 172) should constitute a quorum (paragraphs 13.7, 13.8, 13.10 to 13.12);
- .3 note that FAL 41 agreed the amendments to the Rules of Procedure other than those to rule 3. Rule 3 will be reconsidered by FAL 42 in the light of the decision of MSC 98 and that the amendments to the Rules of Procedure would be held in abeyance until this issue was resolved, whereupon the revised Rules of Procedure of the Facilitation Committee would be adopted, as appropriate (paragraphs 13.9, 13.10 and 13.13);
- .4 note the decision of the Committee to use the new gender-neutral term "Chair" in the document on the *Organization and method of work of the Facilitation Committee*, and to approve FAL.3/Circ.212 accordingly (paragraph 13.18); and
- .5 note the discussions on the proposal for the creation of a collaborative web-based workspace, and the decision to submit this issue for the consideration of the Council (paragraphs 16.1 to 16.5); and
- .6 note that the Committee approved, subject to concurrent approval by LEG 104, the consolidated draft FAL.2-MEPC.1-MSC.1-LEG.1 circular on List of certificates and documents required to be carried on board ships (paragraph 16.10 and annex 7).

ANNEX 1

GUIDELINES ON MARITIME CYBER RISK MANAGEMENT

1 The Maritime Safety Committee, at its ninety-sixth session (11 to 20 May 2016), having considered the urgent need to raise awareness on cyber risk threats and vulnerabilities, approved the *Interim guidelines on maritime cyber risk management* (MSC.1/Circ.1526).

2 The Facilitation Committee, at its forty-first session (4 to 7 April 2017)[, and the Maritime Safety Committee, at its ninety-eighth session (7 to 16 June 2017),] approved the *Guidelines on maritime cyber risk management* as a joint MSC-FAL.1 Circular, as set out in the annex.

3 The Guidelines provide high-level recommendations on maritime cyber risk management to safeguard shipping from current and emerging cyberthreats and vulnerabilities. The Guidelines also include functional elements that support effective cyber risk management.

4 Member Governments are invited to bring the contents of this circular to the attention of all stakeholders concerned.

[5 This circular revokes MSC.1/Circ.1526.]

ANNEX

GUIDELINES ON MARITIME CYBER RISK MANAGEMENT

1 INTRODUCTION

1.1 These Guidelines provide high-level recommendations for maritime cyber risk management. For the purpose of these Guidelines, *maritime cyber risk* refers to a measure of the extent to which a technology asset is threatened by a potential circumstance or event, which may result in shipping-related operational, safety or security failures as a consequence of information or systems being corrupted, lost or compromised.

1.2 Stakeholders should take the necessary steps to safeguard shipping from current and emerging threats and vulnerabilities related to digitization, integration and automation of processes and systems in shipping.

1.3 For details and guidance related to the development and implementation of specific risk management processes, users of these guidelines should refer to specific Member Governments' and Flag Administrations' requirements, as well as relevant international and industry standards and best practices.

1.4 Risk management is fundamental to safe and secure shipping operations. Risk management has traditionally been focused on operations in the physical domain, but greater reliance on digitization, integration, automation and network-based systems has created an increasing need for cyber risk management in the shipping industry.

1.5 Predicated on the goal of supporting safe and secure shipping, which is operationally resilient to cyber risks, these Guidelines provide recommendations that can be incorporated into existing risk management processes. In this regard, the Guidelines are complementary to the safety and security management practices established by this Organization.

2 GENERAL

2.1 Background

2.1.1 Cybertechnologies have become essential to the operation and management of numerous systems critical to the safety and security of shipping and protection of the marine environment. In some cases, these systems are to comply with international standards and Flag Administration requirements. However, the vulnerabilities created by accessing, interconnecting or networking these systems can lead to cyber risks which should be addressed. Vulnerable systems could include, but are not limited to:

- Bridge systems;
- Cargo handling and management systems;
- Propulsion and machinery management and power control systems;
- Access control systems;
- Passenger servicing and management systems;
- Passenger facing public networks;
- Administrative and crew welfare systems; and
- Communication systems.

2.1.2 The distinction between information technology and operational technology systems should be considered. Information technology systems may be thought of as focusing on the use of data as information. Operational technology systems may be thought of as focusing on the use of data to control or monitor physical processes. Furthermore, the protection of information and data exchange within these systems should also be considered.

2.1.3 While these technologies and systems provide significant efficiency gains for the maritime industry, they also present risks to critical systems and processes linked to the operation of systems integral to shipping. These risks may result from vulnerabilities arising from inadequate operation, integration, maintenance and design of cyber-related systems, and from intentional and unintentional cyberthreats.

2.1.4 Threats are presented by malicious actions (e.g. hacking or introduction of malware) or the unintended consequences of benign actions (e.g. software maintenance or user permissions). In general, these actions expose vulnerabilities (e.g. outdated software or ineffective firewalls) or exploit a vulnerability in operational or information technology. Effective cyber risk management should consider both kinds of threat.

2.1.5 Vulnerabilities can result from inadequacies in design, integration and/or maintenance of systems, as well as lapses in cyberdiscipline. In general, where vulnerabilities in operational and/or information technology are exposed or exploited, either directly (e.g. weak passwords leading to unauthorized access) or indirectly (e.g. the absence of network segregation), there can be implications for security and the confidentiality, integrity and availability of information. Additionally, when operational and/or information technology vulnerabilities are exposed or exploited, there can be implications for safety, particularly where critical systems (e.g. bridge navigation or main propulsion systems) are compromised.

2.1.6 Effective cyber risk management should also consider safety and security impacts resulting from the exposure or exploitation of vulnerabilities in information technology systems. This could result from inappropriate connection to operational technology systems or from procedural lapses by operational personnel or third parties, which may compromise these systems (e.g. inappropriate use of removable media such as a memory stick).

2.1.7 Further information regarding vulnerabilities and threats can be found in the additional guidance and standards referenced in section 4.

2.1.8 These rapidly changing technologies and threats make it difficult to address these risks only through technical standards. As such, these Guidelines recommend a risk management approach to cyber risks that is resilient and evolves as a natural extension of existing safety and security management practices.

2.1.9 In considering potential sources of threats and vulnerabilities and associated risk mitigation strategies, a number of potential control options for cyber risk management should also be taken into consideration, including amongst others management, operational or procedural, and technical controls.

2.2 Application

2.2.1 These Guidelines are primarily intended for all organizations in the shipping industry, and are designed to encourage safety and security management practices in the cyberdomain.

2.2.2 Recognizing that no two organizations in the shipping industry are the same, these Guidelines are expressed in broad terms in order to have a widespread application. Ships with limited cyber-related systems may find a simple application of these Guidelines to be sufficient; however, ships with complex cyber-related systems may require a greater level of care and should seek additional resources through reputable industry and Government partners.

2.2.3 These Guidelines are recommendatory.

3 ELEMENTS OF CYBER RISK MANAGEMENT

3.1 For the purpose of these Guidelines, *cyber risk management* means the process of identifying, analysing, assessing, and communicating a cyber-related risk and accepting, avoiding, transferring, or mitigating it to an acceptable level, considering costs and benefits of actions taken to stakeholders.

3.2 The goal of maritime cyber risk management is to support safe and secure shipping, which is operationally resilient to cyber risks.

3.3 Effective cyber risk management should start at the senior management level. Senior management should embed a culture of cyber risk awareness into all levels of an organization and ensure a holistic and flexible cyber risk management regime that is in continuous operation and constantly evaluated through effective feedback mechanisms.

3.4 One accepted approach to achieve the above is to comprehensively assess and compare an organization's current, and desired, cyber risk management postures. Such a comparison may reveal gaps that can be addressed to achieve risk management objectives through a prioritized cyber risk management plan. This risk-based approach will enable an organization to best apply its resources in the most effective manner.

3.5 These Guidelines present the functional elements that support effective cyber risk management. These functional elements are not sequential – all should be concurrent and continuous in practice and should be incorporated appropriately in a risk management framework:

- .1 Identify: Define personnel roles and responsibilities for cyber risk management and identify the systems, assets, data and capabilities that, when disrupted, pose risks to ship operations.
- .2 Protect: Implement risk control processes and measures, and contingency planning to protect against a cyberevent and ensure continuity of shipping operations.
- .3 Detect: Develop and implement activities necessary to detect a cyber event in a timely manner.
- .4 Respond: Develop and implement activities and plans to provide resilience and to restore systems necessary for shipping operations or services impaired due to a cyberevent.
- .5 Recover: Identify measures to back up and restore cyber systems necessary for shipping operations impacted by a cyberevent.

3.6 These functional elements encompass the activities and desired outcomes of effective cyber risk management across critical systems affecting maritime operations and information exchange, and constitute an ongoing process with effective feedback mechanisms.

3.7 Effective cyber risk management should ensure an appropriate level of awareness of cyber risks at all levels of an organization. The level of awareness and preparedness should be appropriate to roles and responsibilities in the cyber risk management system.

4 BEST PRACTICES FOR IMPLEMENTATION OF CYBER RISK MANAGEMENT

4.1 The approach to cyber risk management described herein provides a foundation for better understanding and managing cyber risks, thus enabling a risk management approach to address cyberthreats and vulnerabilities. For detailed guidance on cyber risk management, users of these guidelines should also refer to Member Governments' and Flag Administrations' requirements, as well as relevant international and industry standards and best practices.

4.2 Additional guidance and standards may include, but are not limited to¹:

- The Guidelines on Cyber Security on board Ships by BIMCO, CLIA, ICS, INTERCARGO and INTERTANKO.
- ISO/IEC 27001 standard on Information technology – Security techniques – Information security management systems – Requirements. Published jointly by the International Organization for Standardization (ISO) and the International Electrotechnical Commission (IEC).
- United States National Institute of Standards and Technology's Framework for Improving Critical Infrastructure Security (the NIST Framework).

4.3 Reference should be made to the most current version of any guidance or standards utilized.

¹ The additional guidance and standards are listed as a non-exhaustive reference to further detailed information for users of these Guidelines. The referenced guidance and standards have not been issued by the Organization and their use remains at the discretion of individual users of these Guidelines.

ANNEX 2

THEMATIC PRIORITIES FOR THE FACILITATION OF INTERNATIONAL MARITIME TRAFFIC FOR INCLUSION IN THE ITCP COVERING THE 2018-2019 BIENNIUM

- 1 enhancing the facilitation of international maritime traffic within the context of trade facilitation, in line with the Organization's Strategic Plan;
- 2 fostering the wider acceptance of the FAL Convention and its effective and efficient implementation for the facilitation of international maritime traffic also addressing the special needs of Least Developed Countries (LDCs) and Small Island Developing States (SIDS) and, in particular, the maritime transport needs of Africa;
- 3 contributing to capacity-building in Member States in respect of the responsibilities and quality standards relating to the FAL Convention;
- 4 encouraging and supporting Member States in the use of information and communication technology to drive continuous improvement and innovation in the facilitation of maritime traffic including electronic data processing and interchange techniques, such as Single Window; based on internationally accepted relevant standards to facilitate the clearance of ships, crews, passengers and cargo, effective port operation and vessels' turnaround;
- 5 supporting the training of personnel involved in ship/port interface activities with the aim of raising awareness and understanding of their responsibilities and improving communication and cooperation between all parties involved at the ship/port interface, in respect of the facilitation of international maritime traffic, including intermodal access to ports; and
- 6 assisting Member States in addressing the severe problems caused to international maritime traffic, in particular, by stowaways and the transportation of illegal migrants.

ANNEX 3

**LIST OF SUBSTANTIVE ITEMS FOR INCLUSION IN THE PROVISIONAL AGENDA
FOR THE FORTY-SECOND SESSION OF THE COMMITTEE**

Opening of the session

Decisions of other IMO bodies

Consideration and adoption of proposed amendments to the Convention

Review and update the Explanatory Manual to the FAL Convention

Application of single-window concept

Review and revision of the IMO Compendium on Facilitation and Electronic Business

Developing guidance for authentication, integrity and confidentiality of content for the purpose of exchange via maritime single window

Update the guidelines for setting up a single window system in maritime transport

Unsafe mixed migration by sea

Consideration and analysis of reports and information on persons rescued at sea and stowaways

Technical cooperation activities related to facilitation of maritime traffic

Relations with other organizations

Application of the Committee's procedures on organization and method of work

Work programme

Election of Chair and Vice-Chair for 2019

Any other business

Consideration of the report of the Committee on its forty-second session

ANNEX 4

BIENNIAL STATUS REPORT OF THE FACILITATION COMMITTEE

| Facilitation Committee (FAL) | | | | | | | | |
|------------------------------|--|------------------------|-----------------|------------------------------|-----------------------|-----------------------------|-----------------------------|-----------------------------|
| Output number | Description | Target completion year | Parent organ(s) | Associated organ(s) | Coordinating organ(s) | Status of output for Year 1 | Status of output for Year 2 | References |
| 1.1.1.1 | Cooperate with the United Nations on matters of mutual interest, as well as provide relevant input/guidance | 2017 | Assembly | MSC / MEPC / FAL / LEG / TCC | Council | In progress | Completed | |
| 1.1.2.1 | Cooperate with other international bodies on matters of mutual interest, as well as provide relevant input/guidance | 2017 | Assembly | MSC / MEPC / FAL / LEG / TCC | Council | In progress | Completed | |
| 3.4.1.1 | Input on identifying emerging needs of developing countries, in particular SIDS and LDCs to be included in the ITCP | Continuous | TCC | MSC / MEPC / FAL / LEG | | Ongoing | Completed | |
| 3.5.1.1 | Identify thematic priorities within the area of maritime safety and security, marine environmental protection, facilitation of maritime traffic and maritime legislation | Annual | TCC | MSC / MEPC / FAL / LEG | | Postponed | Completed | FAL 41/17, paragraphs 11.12 |
| 3.5.1.2 | Input to the ITCP on emerging issues relating to sustainable development and achievement of the MDGs | 2017 | TCC | MSC / FAL / LEG / MEPC | | In progress | Completed | |

| Facilitation Committee (FAL) | | | | | | | | |
|--|---|------------------------|-----------------|------------------------------|-----------------------|-----------------------------|-----------------------------|---|
| Output number | Description | Target completion year | Parent organ(s) | Associated organ(s) | Coordinating organ(s) | Status of output for Year 1 | Status of output for Year 2 | References |
| 4.0.1.3 | Endorsed proposals for new outputs for the 2016-2017 biennium as accepted by the Committees | Annual | Council | MSC / MEPC / FAL / LEG / TCC | | Completed | Completed | C 116/D, paragraphs 7.4(i), FAL 41/17, paragraph 14.5 |
| 4.0.2.1 | Endorsed proposals for the development, maintenance and enhancement of information systems and related guidance (GISIS, websites, etc.) | Continuous | Council | MSC / MEPC / FAL / LEG / TCC | | Completed | Completed | |
| 4.0.3.1 | Development of a new strategic framework for the Organization for 2018-2023 | 2017 | Council | MSC / FAL / LEG / TCC / MEPC | | In progress | Completed | C 116/D, paragraphs 4.3-4.6; C 117/D, paragraphs 3.2-3.7 FAL 41/17, paragraph 14.17 |
| 4.0.5.1 | Revised guidelines on organization and method of work, as appropriate | 2016 | Council | MSC / FAL / LEG / TCC / MEPC | | Completed | Completed | C 116/D, paragraph 4.8 FAL 41/17, paragraph 13.18 |
| 5.1.2.2 | [moved to post-biennial agenda] | 2017 | MSC / FAL | III | NCSR | In progress | Postponed | MSC 96/25, paragraph 14.11 |
| Notes: Recognizing that the humanitarian crisis in the Mediterranean is far from being resolved, that this continues to impact merchant shipping and that proposals might be submitted, the NCSR Sub-Committee invited the Committee to extend the target completion year for this output to 2019. FAL 41 agreed to include this output in the post-biennial agenda with the intention to revisit this decision during FAL 42 (FAL 41/17, paragraph 6.4) | | | | | | | | |
| 5.1.2.3 | IMO's contribution to addressing Unsafe Mixed Migration by Sea | 2017 | MSC / FAL / LEG | | | In progress | Extended | |
| Notes: Target completion year extended to 2018 (FAL 41/17, paragraph 7.15) | | | | | | | | |

| Facilitation Committee (FAL) | | | | | | | | |
|--|---|------------------------|-----------------|------------------------|-----------------------|-----------------------------|-----------------------------|--|
| Output number | Description | Target completion year | Parent organ(s) | Associated organ(s) | Coordinating organ(s) | Status of output for Year 1 | Status of output for Year 2 | References |
| 5.2.1.18 | Review the Guidelines on minimum training and education for mooring personnel | 2016 | FAL | | | Completed | | FAL 40/19, paragraph 10.10 |
| 6.1.1.2 | Guidelines on the facilitation aspects of protecting the maritime transport network from cyberthreats | 2016 | FAL | | | Extended | Completed | FAL 39/16, paragraph 13.2; FAL 41/17, paragraph 9.7 |
| Notes: Target completion year extended to 2017 (FAL 40, paragraph 9.12). | | | | | | | | |
| 8.0.1.1 | Comprehensive review of the FAL Convention | 2016 | FAL | | | Completed | | FAL 40/19, paragraphs 4.9 and 4.10 |
| 8.0.1.2 | Review and update the Explanatory Manual to the FAL Convention | 2017 | FAL | | | | Extended | FAL 37/17, paragraph 4.6; FAL 41/17, paragraph 14.2 |
| Notes: FAL 41 decided to change title, scope and TCY of the output to 2019 | | | | | | | | |
| 8.0.2.1 | Consideration and analysis of reports and information on persons rescued at sea and stowaways | Annual | MSC / FAL | | | Completed | Completed | |
| 8.0.3.1 | Requirements for access to, or electronic versions of, certificates and documents, including record books required to be carried on ships | 2017 | FAL | MSC / LEG / III / MEPC | | Completed | | FAL.5/Circ.39/Rev.2; FAL 40/19, paragraphs 6.18 to 6.21; MEPC 68/21, paragraphs 13.2 and 17.26 |
| 8.0.3.2 | Application of single-window concept | Continuous | FAL | | | Ongoing | Ongoing | |

| Facilitation Committee (FAL) | | | | | | | | |
|--|--|------------------------|-----------------|--|------------------------|-----------------------------|-----------------------------|---|
| Output number | Description | Target completion year | Parent organ(s) | Associated organ(s) | Coordinating organ(s) | Status of output for Year 1 | Status of output for Year 2 | References |
| 8.0.3.[] New | Update the guidelines for setting up a single window system in maritime transport (2019) | 2019 | FAL | | | | | FAL 41/17, paragraphs 14.4, 5.55 and 5.56 |
| Notes: Awaiting endorsement of C 118 – correspondence group to commence work in 2017 | | | | | | | | |
| 14.0.1.1 | Analysis and consideration of recommendations to reduce administrative burdens in IMO instruments including those identified by the SG-RAR | 2017 | Council | III / HTW / PPR / CCC / SDC / SSE / NCSR | MSC / MEPC / FAL / LEG | In progress | Completed | MSC 96/25, paragraphs 19.4.5, 19.4.9 and 19.4.10 FAL 41/17, paragraph 10.4 |

ANNEX 5

POST-BIENNIAL AGENDA OF THE COMMITTEE

| FACILITATION COMMITTEE (FAL) | | | | | | | | |
|---------------------------------------|--|--|---|------------------------|-----------------------------|------------------------------|-----------------------------|---------------------------|
| ACCEPTED POST-BIENNIAL OUTPUTS | | | | Parent organ(s) | Associated organs(s) | Coordinating organ(s) | Timescale (sessions) | References |
| Number | Biennium (when the output was placed on the post-biennial agenda) | Reference to High-level Actions | Description | | | | | |
| 128 | 2016-2017 | 1.3.3 | Review the international signs to provide guidance to persons at marine terminals | FAL | | | 1 | FAL 40/19, paragraph 11.5 |
| 142 | 2016-2017 | 5.1.2 | Measures to protect the safety of persons rescued at sea | MSC / FAL | NCSR | | 2 | |
| 139 | 2016-2017 | 8.0.3 | Review and revision of the IMO Compendium on Facilitation and Electronic Business | FAL | | | 2 | FAL 41/17 Para 14.1 |
| 140 | 2016-2017 | 8.0.3 | Developing guidance for authentication, integrity and confidentiality of content for the purpose of exchange via maritime single window | FAL | | | 2 | FAL 41/17 Para 14.3 |

ANNEX 6

**OUTPUTS OF THE FAL COMMITTEE FOR THE 2018-2019 BIENNIUM ALIGNED TO THE
NEW STRATEGIC DIRECTIONS AGREED BY C 117**

| New Strategic Direction | Existing Output Number | Existing description of the Output | Target completion year | Parent organ(s) | Associated organ | Coordinating organ |
|---|-------------------------------|--|-------------------------------|------------------------|------------------------------|---------------------------|
| SD 1 Improve implementation | 1.1.1.1 ¹ | Cooperate with the United Nations on matters of mutual interest, as well as provide relevant input/guidance | 2017 | Assembly | MSC / MEPC / FAL / LEG / TCC | Council |
| | 1.1.2.1 ¹ | Cooperate with other international bodies on matters of mutual interest, as well as provide relevant input/guidance | 2017 | Assembly | MSC / MEPC / FAL / LEG / TCC | Council |
| | 3.4.1.1 | Input on identifying emerging needs of developing countries, in particular SIDS and LDCs to be included in the ITCP | Continuous | TCC | MSC / MEPC / FAL / LEG | |
| | 3.5.1.1 | Identify thematic priorities within the area of maritime safety and security, marine environmental protection, facilitation of maritime traffic and maritime legislation | Annual | TCC | MSC / MEPC / FAL / LEG | |
| SD 2 Integrate new and advancing technologies in the regulatory framework | 1.1.1.1 ¹ | Cooperate with the United Nations on matters of mutual interest, as well as provide relevant input/guidance | 2017 | Assembly | MSC / MEPC / FAL / LEG / TCC | Council |
| | 1.1.2.1 ¹ | Cooperate with other international bodies on matters of mutual interest, as well as provide relevant input/guidance | 2017 | Assembly | MSC / MEPC / FAL / LEG / TCC | Council |

¹ Outputs 1.1.1.1 and 1.1.2.1 have been aligned to all SDs, because until 2013, the HLAP attempted to specify the activities carried out with other organizations in individual outputs, but it was recognized that the listing was neither accurate nor complete, and the individual outputs were combined into two outputs. Furthermore, one of the overarching principles for the new Strategic Plan is outreach and collaboration, and therefore these outputs are relevant to all SDs.

| New Strategic Direction | Existing Output Number | Existing description of the Output | Target completion year | Parent organ(s) | Associated organ | Coordinating organ |
|--|------------------------|---|------------------------|-----------------|------------------------------|--------------------|
| SD 3 Respond to Climate Change | 1.1.1.1 ² | Cooperate with the United Nations on matters of mutual interest, as well as provide relevant input/guidance | 2017 | Assembly | MSC / MEPC / FAL / LEG / TCC | Council |
| | 1.1.2.1 | Cooperate with other international bodies on matters of mutual interest, as well as provide relevant input/guidance | 2017 | Assembly | MSC / MEPC / FAL / LEG / TCC | Council |
| | 3.5.1.2 | Input to the ITCP on emerging issues relating to sustainable development and achievement of the MDGs | 2017 | TCC | MSC / MEPC / FAL / LEG | |
| SD 4 Engage in Ocean Governance | 1.1.1.1 ² | Cooperate with the United Nations on matters of mutual interest, as well as provide relevant input/guidance | 2017 | Assembly | MSC / MEPC / FAL / LEG / TCC | Council |
| | 1.1.2.1 ² | Cooperate with other international bodies on matters of mutual interest, as well as provide relevant input/guidance | 2017 | Assembly | MSC / MEPC / FAL / LEG / TCC | Council |
| | 3.4.1.1 | Input on identifying emerging needs of developing countries, in particular SIDS and LDCs to be included in the ITCP | Continuous | TCC | MSC / MEPC / FAL / LEG | |
| | 3.5.1.2 | Input to the ITCP on emerging issues relating to sustainable development and achievement of the MDGs | 2017 | TCC | MSC / MEPC / FAL / LEG | |
| SD 5 Enhance global facilitation and security of international trade | 1.1.1.1 ² | Cooperate with the United Nations on matters of mutual interest, as well as provide relevant input/guidance | 2017 | Assembly | MSC / MEPC / FAL / LEG / TCC | Council |
| | 1.1.2.1 ² | Cooperate with other international bodies on matters of mutual interest, as well as provide relevant input/guidance | 2017 | Assembly | MSC / MEPC / FAL / LEG / TCC | Council |
| | 8.0.3.2 | Application of single-window concept | Continuous | FAL | | |
| | 8.0.1.2 ³ | Review and update the Explanatory Manual to the FAL Convention | 2019 | FAL | | |

² Outputs 1.1.1.1 and 1.1.2.1 have been aligned to all SDs, because until 2013, the HLAP attempted to specify the activities carried out with other organizations in individual outputs, but it was recognized that the listing was neither accurate nor complete, and the individual outputs were combined into two outputs. Furthermore, one of the overarching principles for the new Strategic Plan is outreach and collaboration, and therefore these outputs are relevant to all SDs.

³ FAL 41 decided to change title, scope and TCY of the output to 2019.

| New Strategic Direction | Existing Output Number | Existing description of the Output | Target completion year | Parent organ(s) | Associated organ | Coordinating organ |
|--|---------------------------|---|------------------------|-----------------|------------------------------|--------------------|
| | 8.0.3 ⁴ New | Update the guidelines for setting up a single window system in maritime transport | 2 sessions | FAL | | |
| SD 6 Ensure regulatory effectiveness | 1.1.1.1 ⁵ | Cooperate with the United Nations on matters of mutual interest, as well as provide relevant input/guidance | 2017 | Assembly | MSC / MEPC / FAL / LEG / TCC | Council |
| | 1.1.2.1 ⁵ | Cooperate with other international bodies on matters of mutual interest, as well as provide relevant input/guidance | 2017 | Assembly | MSC / MEPC / FAL / LEG / TCC | Council |
| | 8.0.2.1 | Consideration and analysis of reports and information on persons rescued at sea and stowaways | Annual | MSC / FAL | | |
| SD 7 Ensure organizational effectiveness | 1.1.1.1 ⁵ | Cooperate with the United Nations on matters of mutual interest, as well as provide relevant input/guidance | 2017 | Assembly | MSC / MEPC / FAL / LEG / TCC | Council |
| | 1.1.2.1 ⁵ | Cooperate with other international bodies on matters of mutual interest, as well as provide relevant input/guidance | 2017 | Assembly | MSC / MEPC / FAL / LEG / TCC | Council |
| | 4.0.2.1 | Endorsed proposals for the development, maintenance and enhancement of information systems and related guidance (GISIS, websites, etc.) | Continuous | Council | MSC / MEPC / FAL / LEG / TCC | |
| | 4.0.5.1 | Revised guidelines on organization and method of work, as appropriate | 2016 | Council | MSC / MEPC / FAL / LEG / TCC | |
| Other work ⁶ | 4.0.1.3 | Endorsed proposals for new outputs for the 2016-2017 biennium as accepted by the Committees | Annual | Council | MSC / MEPC / FAL / LEG / TCC | |
| | 5.1.2.3 | IMO's contribution to addressing Unsafe Mixed Migration by Sea | 2017 | MSC / FAL / LEG | | |

⁴ New output approved by FAL 41. Pending endorsement by C 118. Correspondence group to commence work in 2017.

⁵ Outputs 1.1.1.1 and 1.1.2.1 have been aligned to all SDs, because until 2013, the H LAP attempted to specify the activities carried out with other organizations in individual outputs, but it was recognized that the listing was neither accurate nor complete, and the individual outputs were combined into two outputs. Furthermore, one of the overarching principles for the new Strategic Plan is outreach and collaboration, and therefore these outputs are relevant to all SDs.

⁶ These outputs are part of the work carried out as part of the mission of the Organization, but they have not been identified as strategic for the 2018-2023 period.

Post-biennial agenda outputs

| New Strategic Direction | Existing Output Number | Existing description of the Output | Target completion year | Parent organ(s) | Associated organ | Coordinating organ |
|--|-------------------------------|--|-------------------------------|------------------------|-------------------------|---------------------------|
| SD 5 Enhance global facilitation and security of international trade | 8.0.3 ⁷ New | Review and revision of the IMO Compendium on Facilitation and Electronic Business | 2 sessions | FAL | | |
| | 8.0.3 ⁸ New | Developing guidance for authentication, integrity and confidentiality of content for the purpose of exchange of electronic information | 2 sessions | FAL | | |
| Other work | 1.3.3 post biennial | Review the international signs to provide guidance to persons at marine terminals | 1 session | FAL | | |
| Other work | 5.1.2.2 | Measures to protect the safety of persons rescued at sea | 2 sessions | MSC/FAL | III | NCSR |

⁷ New output approved by FAL 41. Pending endorsement by C 118.

⁸ New output approved by FAL 41. Pending endorsement by C 118.

ANNEX 7

LIST OF CERTIFICATES AND DOCUMENTS REQUIRED TO BE CARRIED ON BOARD SHIPS, 2017

1 The Facilitation Committee, at its forty-first session, the Marine Environment Protection Committee, at its seventieth session, the Maritime Safety Committee, at its ninety-seventh session, and the Legal Committee, at its [...], approved the List of certificates and documents required to be carried on board ships, 2017, as set out in the annex.

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

3 Due to amendments to relevant instruments since the issuance of FAL.2/Circ.127-MEPC/Circ.817-MS/Circ.1462, the list has been revised to take account of the relevant provisions of the aforementioned amendments.

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

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

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

7 This circular supersedes FAL.2/Circ.127-MEPC/Circ.817-MS/Circ.1462.

ANNEX

FAL.2/Circ.130
MEPC.1/Circ.[...]
MSC.1/Circ.[...]
LEG.1/Circ.[]
[] April 2017

**CERTIFICATES AND DOCUMENTS REQUIRED TO BE CARRIED
ON BOARD SHIPS, 2017**

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

| No. | Contents | Reference |
|-----|--|--|
| 1 | All ships to which the referenced convention applies | |
| | International Tonnage Certificate (1969) An International Tonnage Certificate (1969) shall be issued to every ship, the gross and net tonnage of which have been determined in accordance with the Convention. | Tonnage Convention, article 7 |
| | International Load Line Certificate An International Load Line Certificate shall be issued under the provisions of the International Convention on Load Lines, 1966, to every ship which has been surveyed and marked in accordance with the Convention or the Convention as modified by the 1988 LL Protocol, as appropriate. | LL Convention, article 16; 1988 LL Protocol, article 16 |
| | International Load Line Exemption Certificate An International Load Line Exemption Certificate shall be issued to any ship to which an exemption has been granted under and in accordance with article 6 of the Load Line Convention or the Convention as modified by the 1988 LL Protocol, as appropriate. | LL Convention, article 16; 1988 LL Protocol, article 16 |
| | Exemption Certificate¹ When an exemption is granted to a ship under and in accordance with the provisions of SOLAS 1974, a certificate called an Exemption Certificate shall be issued in addition to the certificates listed above. | SOLAS 1974, regulation I/12; 1988 SOLAS Protocol, regulation I/12 |

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

| No. | Contents | Reference |
|-----|---|---|
| | <p>Coating Technical File A Coating Technical File, containing specifications of the coating system applied, where applicable, to dedicated seawater ballast tanks in all types of ships and double-side skin spaces of bulk carriers of 150 m in length and upwards and cargo oil tanks of crude oil tankers, record of the shipyard's and shipowner's coating work, detailed criteria for coating sections, job specifications, inspection, maintenance and repair, shall be kept on board and maintained throughout the life of the ship.</p> | <p>SOLAS 1974, regulation II-1/3-2 and II-1/3-11; Performance standard for protective coatings for dedicated seawater ballast tanks in all types of ships and double-side skin spaces of bulk, and cargo oil tanks of crude oil tankers carriers (resolution MSC.215(82)) as amended by resolution MSC.341(91) and MSC.1/Circ.1381; and resolution MSC.288(87) as modified by circular MSC.1/Circ.1381 and amended by resolution MSC.342(91))</p> |
| | <p>Emergency Towing Procedure All ships shall be provided with a ship-specific emergency towing procedure. Such a procedure shall be carried on board the ship for use in emergency situations and shall be developed based on the guidelines developed by the Organization.</p> | <p>SOLAS regulation II-1/3-4; MSC.1/Circ.1255</p> |
| | <p>Construction drawings A set of as-built construction drawings and other plans showing any subsequent structural alterations shall be kept on board a ship constructed on or after 1 January 2007.</p> | <p>SOLAS 1974, regulation II-1/3-7; MSC/Circ.1135 on As-built construction drawings to be maintained on board the ship and ashore</p> |
| | <p>Ship Construction File A Ship Construction File with specific information should be kept on board oil tankers of 150 m in length and above and bulk carriers of 150 m in length and above, constructed with single deck, topside tanks and hopper side tanks in cargo spaces, excluding ore carriers and combination carriers:</p> <ul style="list-style-type: none"> .1 for which the building contract is placed on or after 1 July 2016; .2 in the absence of a building contract, the keels of which are laid or which are at a similar stage of construction on or after 1 July 2017; or .3 the delivery of which is on or after 1 July 2020 shall carry a Ship Construction File containing information in accordance with regulations and guidelines, <p>and updated as appropriate throughout the ship's life in order to facilitate safe operation, maintenance, survey, repair and emergency measures.</p> | <p>SOLAS 1974, regulation II-1/3-10; MSC.1/Circ.1343 on Guidelines for the information to be included in a Ship Construction File</p> |

| No. | Contents | Reference |
|-----|---|--|
| | <p>Noise Survey Report Applicable to new ships of 1,600 gross tonnage and above, excluding dynamically supported crafts, high-speed crafts, fishing vessels, pipe-laying barges, crane barges, mobile offshore drilling units, pleasure yachts not engaged in trade, ships of war and troopships, ships not propelled by mechanical means, pile driving vessels and dredgers.</p> <p>A noise survey report shall always be carried on board and be accessible for the crew.</p> <p>For existing ships, refer to section "Other certificates and documents which are not mandatory – Noise Survey Report" (resolution A.468(XII)).</p> | <p>SOLAS 1974, regulation II-1/3-12; Code on noise levels on board ships, section 4.3</p> |
| | <p>Stability information Every passenger ship regardless of size and every cargo ship of 24 m and over shall be inclined on completion and the elements of their stability determined. The master shall be supplied with stability information containing such information as is necessary to enable him, by rapid and simple procedures, to obtain accurate guidance as to the stability of the ship under varying conditions of service to maintain the required intact stability and stability after damage. For bulk carriers, the information required in a bulk carrier booklet may be contained in the stability information.</p> | <p>SOLAS 1974, regulations II-1/5 and II-1/5-1; LL Convention regulation 10; 1988 LL Protocol, regulation 10</p> |
| | <p>Damage control plans and booklets On passenger and cargo ships, there shall be permanently exhibited plans showing clearly for each deck and hold the boundaries of the watertight compartments, the openings therein with the means of closure and position of any controls thereof, and the arrangements for the correction of any list due to flooding. Booklets containing the aforementioned information shall be made available to the officers of the ship.</p> | <p>SOLAS 1974, regulation II-1/19; MSC.1/Circ.1245</p> |
| | <p>Manoeuvring booklet The stopping times, ship headings and distances recorded on trials, together with the results of trials to determine the ability of ships having multiple propellers to navigate and manoeuvre with one or more propellers inoperative, shall be available on board for the use of the master or designated personnel.</p> | <p>SOLAS 1974, regulation II-1/28</p> |
| | <p>Evaluation of the alternative design and arrangements Where applicable, a copy of the documentation, as approved by the Administration, indicating that the alternative design and arrangements comply with this regulation shall be carried onboard the ship.</p> | <p>SOLAS regulations II-1/55.4.2, II-2/17.4.2, and chapter III/38.4.2</p> |

| No. | Contents | Reference |
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| | <p>Maintenance plans The maintenance plan shall include the necessary information about fire protection systems and fire-fighting systems and appliances as required by regulation II-2/14.2.2. For tankers, additional requirements are referred to in regulation II-2/14.4.</p> <p>For passenger ships carrying more than 36 passengers, the maintenance plan should include low-location lighting and public address system as required by SOLAS regulation II-2/14.3</p> | <p>SOLAS 1974, regulations II-2/14.2.2, II-2/14.3 and and II-2/14.4</p> |
| | <p>Onboard training and drills record Fire drills shall be conducted and recorded in accordance with the provisions of regulations III/19.3 and III/19.5.</p> | <p>SOLAS 1974, regulation II-2/15.2.2.5</p> |
| | <p>Fire safety training manual A training manual shall be written in the working language of the ship and shall be provided in each crew mess room and recreation room or in each crew cabin. The manual shall contain the instructions and information required in regulation II-2/15.2.3.4. Part of such information may be provided in the form of audiovisual aids in lieu of the manual.</p> | <p>SOLAS 1974, regulation II-2/15.2.3</p> |
| | <p>Fire control plan/booklet General arrangement plans shall be permanently exhibited for the guidance of the ship's officers, showing clearly for each deck the control stations, the various fire sections together with particulars of the fire detection and fire alarm systems and the fire-extinguishing appliances, etc. Alternatively, at the discretion of the Administration, the aforementioned details may be set out in a booklet, a copy of which shall be supplied to each officer, and one copy shall at all times be available on board in an accessible position. Plans and booklets shall be kept up to date; any alterations shall be recorded as soon as practicable. A duplicate set of fire control plans or a booklet containing such plans shall be permanently stored in a prominently marked weathertight enclosure outside the deckhouse for the assistance of shoreside fire-fighting personnel.</p> | <p>SOLAS 1974, regulations II-2/15.2.4 and II-2/15.3.2</p> |
| | <p>Fire safety operational booklet The fire safety operational booklet shall contain the necessary information and instructions for the safe operation of the ship and cargo handling operations in relation to fire safety. The booklet shall be written in the working language of the ship and be provided in each crew mess room and recreation room or in each crew cabin. The booklet may be combined with the fire safety training manuals required in regulation II-2/15.2.3.</p> | <p>SOLAS 1974, regulation II-2/16.2</p> |
| | <p>Operations manual for helicopter facility Each helicopter facility, if fitted, shall have an operations manual, including a description and a checklist of safety precautions, procedures and equipment requirements. This manual may be part of the ship's emergency response procedures</p> | <p>SOLAS 1974, regulation II-2/18.8.1</p> |

| No. | Contents | Reference |
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| | <p>Statement of acceptance of the installation of replacement release and retrieval system to an existing lifeboat For all ships, no later than the first scheduled dry-docking after 1 July 2014, but no later than 1 July 2019, lifeboat on-load release mechanisms not complying with paragraphs 4.4.7.6.4 to 4.4.7.6.6 of the LSA Code shall be replaced with equipment that complies with the Code.</p> | SOLAS regulation III/1.5; LSA Code, para. 4.4.7.6; MSC.1/Circ.1392/Corr.1 |
| | <p>Muster list and emergency instructions All ships shall be provided with muster list and emergency instructions, which shall comply with the requirements of regulation 37 and be exhibited in conspicuous places throughout the ship including the navigation bridge, engine-room and crew accommodation spaces. In the case of passenger ships, these instructions shall be drawn up in the language(s) required by its flag State and in the English language.</p> | SOLAS regulation III/8 and III/37 |
| | <p>Ship-specific Plans and Procedures for Recovery of Persons from the Water All ships shall have ship-specific plans and procedures for recovery of persons from the water. Ships constructed before 1 July 2014 shall comply with this requirement by the first periodical or renewal safety equipment survey of the ship to be carried out after 1 July 2014, whichever comes first.</p> <p>Ro-ro passenger ships which comply with regulation III/26.4 shall be deemed to comply with this regulation.</p> <p>The Plans and Procedures should be considered as a part of the emergency preparedness plan required by paragraph 8 of the ISM Code.</p> | SOLAS 1974 regulation, III/17-1; Resolution MSC.346(91); MSC.1/Circ.1447 |
| | <p>Training manual The training manual, which may comprise several volumes, shall contain instructions and information, in easily understood terms illustrated wherever possible, on the life-saving appliances provided in the ship and on the best methods of survival. Any part of such information may be provided in the form of audiovisual aids in lieu of the manual.</p> | SOLAS 1974, regulation III/35 |
| | <p>Radio record A record shall be kept, to the satisfaction of the Administration and as required by the Radio Regulations, of all incidents connected with the radiocommunication service which appear to be of importance to safety of life at sea</p> | SOLAS 1974, regulation IV/17 |
| | <p>Minimum safe manning document Every ship to which chapter I of the Convention applies shall be provided with an appropriate safe manning document or equivalent issued by the Administration as evidence of the minimum safe manning.</p> | SOLAS 1974, regulation V/14.2 |

| No. | Contents | Reference |
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| | <p>Voyage data recorder system – certificate of compliance The voyage data recorder system, including all sensors, shall be subjected to an annual performance test. The test shall be conducted by an approved testing or servicing facility to verify the accuracy, duration and recoverability of the recorded data. In addition, tests and inspections shall be conducted to determine the serviceability of all protective enclosures and devices fitted to aid location. A copy of the certificate of compliance issued by the testing facility, stating the date of compliance and the applicable performance standards, shall be retained on board the ship.</p> | SOLAS 1974, regulation V/18.8 |
| | <p>AIS test report The Automatic Identification System (AIS) shall be subjected to an annual test by an approved surveyor or an approved testing or servicing facility. A copy of the test report shall be retained on board and should be in accordance with a model form set out in the annex to MSC.1/Circ.1252</p> | SOLAS 1974, regulation V/18.9; MSC.1/Circ.1252 |
| | <p>Nautical charts and nautical publications Nautical charts and nautical publications for the intended voyage shall be adequate and up to date. An electronic chart display and information system (ECDIS) is also accepted as meeting the chart carriage requirements of this subparagraph.</p> | SOLAS 1974, regulations V/19.2.1.4 and V/27 |
| | <p>LRIT conformance test report A Conformance test report should be issued, on satisfactory completion of a conformance test, by the Administration or the ASP who conducted the test acting on behalf of the Administration and should be in accordance with the model set out in appendix 2 of MSC.1/Circ.1307.</p> | SOLAS 1974, regulation V/19-1; MSC.1/Circ.1307 |
| | <p>International Code of Signals and a copy of Volume III of IAMSAR Manual All ships required to carry a radio installation shall carry the International Code of Signal; all ships shall carry an up-to-date copy of Volume III of the International Aeronautical and Maritime Search and Rescue (IAMSAR) Manual.</p> | SOLAS 1974, regulation V/21 |
| | <p>Records for pilot ladders used for pilot transfer All pilot ladders used for pilot transfer shall be clearly identified with tags or other permanent marking so as to enable identification of each appliance for the purposes of survey, inspection and record keeping. A record shall be kept on the ship as to the date the identified ladder is placed into service and any repairs effected.</p> | SOLAS regulation V/ 23.2.4 |
| | <p>Records of navigational activities All ships engaged on international voyages shall keep on board a record of navigational activities and incidents including drills and pre-departure tests. When such information is not maintained in the ship's logbook, it shall be maintained in another form approved by the Administration.</p> | SOLAS 1974, regulations V/26 and V/28.1 |

| No. | Contents | Reference |
|-----|---|--|
| | <p>Cargo Securing Manual All cargoes other than solid and liquid bulk cargoes, cargo units and cargo transport units, shall be loaded, stowed and secured throughout the voyage in accordance with the Cargo Securing Manual approved by the Administration. In ships with ro-ro spaces, as defined in regulation II-2/3.41, all securing of such cargoes, cargo units and cargo transport units, in accordance with the Cargo Securing Manual, shall be completed before the ship leaves the berth. The Cargo Securing Manual is required on all types of ships engaged in the carriage of all cargoes other than solid and liquid bulk cargoes, which shall be drawn up to a standard at least equivalent to the guidelines developed by the Organization.</p> | <p>SOLAS 1974, regulations VI/5.6 and VII/5; MSC.1/Circ.1353/Rev.1</p> |
| | <p>Material Safety Data Sheets (MSDS) Ships carrying oil or oil fuel, as defined in regulation 1 of annex 1 of the International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 relating thereto, shall be provided with material safety data sheets, based on the recommendations developed by the Organization, prior to the loading of such oil as cargo in bulk or bunkering of oil fuel.</p> | <p>SOLAS 1974, regulation VI/5-1; resolution MSC.286(86)</p> |
| | <p>Safety Management Certificate A Safety Management Certificate shall be issued to every ship by the Administration or an organization recognized by the Administration. The Administration or an organization recognized by it shall, before issuing the Safety Management Certificate, verify that the company and its shipboard management operate in accordance with the approved safety management system.</p> | <p>SOLAS 1974, regulation IX/4; ISM Code, paragraph 13</p> |
| | <p>Document of Compliance A document of compliance shall be issued to every company which complies with the requirements of the ISM Code. A copy of the document shall be kept on board.</p> | <p>SOLAS 1974, regulation IX/4; ISM Code, paragraph 13</p> |
| | <p>Continuous Synopsis Record (CSR) Every ship to which chapter I of the Convention applies shall be issued with a Continuous Synopsis Record. The Continuous Synopsis Record provides an onboard record of the history of the ship with respect to the information recorded therein.</p> | <p>SOLAS 1974, regulation XI-1/5</p> |

| No. | Contents | Reference |
|-----|--|--|
| | <p>Ship Security Plan and associated records Each ship shall carry on board a ship security plan approved by the Administration. The plan shall make provisions for the three security levels as defined in part A of the ISPS Code. Records of the following activities addressed in the ship security plan shall be kept on board for at least the minimum period specified by the Administration:</p> <ul style="list-style-type: none"> .1 training, drills and exercises; .2 security threats and security incidents; .3 breaches of security; .4 changes in security level; .5 communications relating to the direct security of the ship such as specific threats to the ship or to port facilities the ship is, or has been, in; .6 internal audits and reviews of security activities; .7 periodic review of the ship security assessment; .8 periodic review of the ship security plan; .9 implementation of any amendments to the plan; and .10 maintenance, calibration and testing of any security equipment provided on board, including testing of the ship security alert system. | <p>SOLAS 1974, regulation XI-2/9; ISPS Code, part A, sections 9 and 10</p> |
| | <p>International Ship Security Certificate (ISSC) or Interim International Ship Security Certificate An International Ship Security Certificate (ISSC) shall be issued to every ship by the Administration or an organization recognized by it to verify that the ship complies with the maritime security provisions of SOLAS chapter XI-2 and part A of the ISPS Code. An interim ISSC may be issued under the ISPS Code, part A, section 19.4.</p> | <p>SOLAS 1974, regulation XI-2/9.1.1; ISPS Code, part A, section 19 and appendices.</p> |
| | <p>International Oil Pollution Prevention Certificate An international Oil Pollution Prevention Certificate shall be issued, after survey in accordance with regulation 6 of Annex I of MARPOL, to any oil tanker of 150 gross tonnage and above and any other ship of 400 gross tonnage and above which is engaged in voyages to ports or offshore terminals under the jurisdiction of other Parties to MARPOL. The certificate is supplemented with a Record of Construction and Equipment for Ships other than Oil Tankers (Form A) or a Record of Construction and Equipment for Oil Tankers (Form B), as appropriate.</p> | <p>MARPOL Annex I, regulation 7</p> |
| | <p>Oil Record Book Every oil tanker of 150 gross tonnage and above and every ship of 400 gross tonnage and above other than an oil tanker shall be provided with an Oil Record Book, Part I (Machinery space operations). Every oil tanker of 150 gross tonnage and above shall also be provided with an Oil Record Book, Part II (Cargo/ballast operations).</p> | <p>MARPOL Annex I, regulations 17 and 36</p> |
| | <p>Shipboard Oil Pollution Emergency Plan Every oil tanker of 150 gross tonnage and above and every ship other than an oil tanker of 400 gross tonnage and above shall carry on board a Shipboard Oil Pollution Emergency Plan approved by the Administration.</p> | <p>MARPOL Annex I, regulation 37; resolution MEPC.54(32), as amended by resolution MEPC.86(44)</p> |

| No. | Contents | Reference |
|-----|--|--|
| | <p>International Sewage Pollution Prevention Certificate An International Sewage Pollution Prevention Certificate shall be issued, after an initial or renewal survey in accordance with the provisions of regulation 4 of Annex IV of MARPOL, to any ship which is required to comply with the provisions of that Annex and is engaged in voyages to ports or offshore terminals under the jurisdiction of other Parties to the Convention.</p> | <p>MARPOL Annex IV, regulation 5; MEPC/Circ.408</p> |
| | <p>Document of approval for the rate of sewage discharge Untreated sewage from ships other than passenger ships in all areas and from passenger ships outside special areas that has been stored in holding tanks shall be discharged at a moderate rate approved by the Administration based upon the standards developed by the Organization.</p> | <p>MARPOL Annex IV, regulation 11.1.1; Resolution MEPC. 157 (55)</p> |
| | <p>Garbage Management Plan Every ship of 100 gross tonnage and above and every ship which is certified to carry 15 persons or more shall carry a garbage management plan which the crew shall follow.</p> | <p>MARPOL Annex V, regulation 10; resolution MEPC.220(63)</p> |
| | <p>Garbage Record Book Every ship of 400 gross tonnage and above and every ship which is certified to carry 15 persons or more engaged in voyages to ports or offshore terminals under the jurisdiction of other Parties to the Convention and every fixed and floating platform engaged in exploration and exploitation of the seabed shall be provided with a Garbage Record Book.</p> | <p>MARPOL Annex V, regulation 10</p> |
| | <p>International Air Pollution Prevention Certificate Ships constructed before the date of entry into force of the Protocol of 1997 shall be issued with an International Air Pollution Prevention Certificate. Any ship of 400 gross tonnage and above engaged in voyages to ports or offshore terminals under the jurisdiction of other Parties and platforms and drilling rigs engaged in voyages to waters under the sovereignty or jurisdiction of other Parties to the Protocol of 1997 shall be issued with an International Air Pollution Prevention Certificate.</p> | <p>MARPOL Annex VI, regulation 6</p> |
| | <p>International Energy Efficiency Certificate An International Energy Efficiency Certificate for the ship shall be issued after a survey in accordance with the provisions of regulation 5.4 to any ships of 400 gross tonnage and above before that ship may engage in voyages to ports or offshore terminals under the jurisdiction of other Parties.</p> | <p>MARPOL Annex VI, regulation 6</p> |
| | <p>Ozone-depleting Substances Record Book Each ship subject to MARPOL Annex VI, regulation 6.1 that has rechargeable systems that contain ozone-depleting substances shall maintain an ozone-depleting substances record book.</p> | <p>MARPOL Annex VI, regulation 12.6</p> |

| No. | Contents | Reference |
|-----|--|---|
| | <p>Fuel Oil Changeover Procedure and Logbook (record of fuel changeover) Those ships using separate fuel oils to comply with MARPOL Annex VI, regulation 14.3 and entering or leaving an emission control area shall carry a written procedure showing how the fuel oil changeover is to be done. The volume of low-sulphur fuel oils in each tank as well as the date, time and position of the ship when any fuel oil changeover operation is completed prior to the entry into an emission control area or commenced after exit from such an area shall be recorded in such logbook as prescribed by the Administration.</p> | <p>MARPOL Annex VI, regulation 14.6</p> |
| | <p>Manufacturer's Operating Manual for Incinerators Incinerators installed in accordance with the requirements of MARPOL Annex VI, regulation 16.6.1 shall be provided with a Manufacturer's Operating Manual, which is to be retained with the unit.</p> | <p>MARPOL Annex VI, regulation 16.7</p> |
| | <p>Bunker Delivery Note and Representative Sample Bunker Delivery Note and representative sample of the fuel oil delivered shall be kept on board in accordance with requirements of MARPOL Annex VI, regulations 18.6 and 18.8.1.</p> | <p>MARPOL Annex VI, regulations 18.6 and 18.8.1</p> |
| | <p>EEDI Technical File Applicable to ships falling into one or more of categories in MARPOL Annex VI, regulations 2.25 to 2.35.</p> | <p>MARPOL Annex VI, regulation 20</p> |
| | <p>Ship Energy Efficiency Management Plan (SEEMP) All ships of 400 gross tonnage and above, excluding platforms (including FPSOs and FSUs) and drilling rigs, regardless of their propulsion, shall keep on board a ship specific Ship Energy Efficiency Management Plan (SEEMP). This may form part of the ship's Safety management System (SMS).</p> | <p>MARPOL Annex VI, regulation 22; MEPC.1/Circ.795</p> |
| | <p>Technical File Every marine diesel engine installed on board a ship shall be provided with a Technical File. The Technical File shall be prepared by the applicant for engine certification and approved by the Administration, and is required to accompany an engine throughout its life on board ships. The Technical File shall contain the information as specified in paragraph 2.4.1 of the NO_x Technical Code, 2008.</p> | <p>NO_x Technical Code, 2008, paragraph 2.3.4</p> |
| | <p>Record Book of Engine Parameters Where the Engine Parameter Check method in accordance with paragraph 6.2 of the NO_x Technical Code, 2008 is used to verify compliance, if any adjustments or modifications are made to an engine after its pre-certification, a full record of such adjustments or modifications shall be recorded in the engine's Record Book of Engine Parameters.</p> | <p>NO_x Technical Code, 2008, paragraph 2.3.7</p> |

| No. | Contents | Reference |
|-----|---|---|
| | <p>Certificates for masters, officers or ratings Certificates for masters, officers or ratings shall be issued to those candidates who, to the satisfaction of the Administration, meet the requirements for service, age, medical fitness, training, qualifications and examinations in accordance with the appropriate provisions of the 1978 STCW Convention and STCW Code. Formats of certificates are given in section A-I/2 of the STCW Code. Certificates must be kept available in their original form on board the ships on which the holder is serving.</p> <p>Fishing vessel personnel serving on board seagoing fishing vessels shall be certificated in accordance with the provisions of STCW-F Convention 1995. Formats of certificates are given in the appendix 1, 2 and 3 of the Convention.</p> | <p>STCW 1978, article VI, regulation I/2; STCW Code, section A-I/2</p> <p>STCW-F 1995 article 6, regulation 3</p> |
| | <p>Records of hours of rest Records of daily hours of rest of seafarers shall be maintained on board.</p> | <p>STCW Code, section A-VIII/1; Maritime Labour Convention, 2006; IMO/ILO Guidelines for the development of tables of seafarers' shipboard working arrangements and formats of records of seafarers' hours of work or hours of rest</p> |
| | <p>International Anti-fouling System Certificate Ships of 400 GT and above engaged in international voyages, excluding fixed or floating platforms, FSUs, and FPSOs, shall be issued after inspection and survey an international Anti-fouling System Certificate together with a Record of Anti-fouling Systems.</p> | <p>AFS Convention, regulation 2(1) of annex 4</p> |
| | <p>Declaration on Anti-fouling System Ships of 24 m or more in length, but less than 400 GT engaged in international voyages, excluding fixed or floating platforms, FSUs, and FPSOs, shall carry a declaration signed by the owner or owner's authorized agents. Such a declaration shall be accompanied by appropriate documentation (such as a paint receipt or a contractor invoice) or contain appropriate endorsement.</p> | <p>AFS Convention, regulation 5(1) of annex 4</p> |

| No. | Contents | Reference |
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| | <p>Certificate of insurance or other financial security in respect of civil liability for bunker oil pollution damage Certificate attesting that insurance or other financial security is in force in accordance with the provisions of this Convention shall be issued to each ship having a gross tonnage greater than 1,000 after the appropriate authority of a State Party has determined that the requirements of article 7, paragraph 1 have been complied with. With respect to a ship registered in a State Party such certificate shall be issued or certified by the appropriate authority of the State of the ship's registry; with respect to a ship not registered in a State Party it may be issued or certified by the appropriate authority of any State Party. A State Party may authorize either an institution or an organization recognized by it to issue the certificate referred to in article 7, paragraph 2. This compulsory insurance certificate shall be in the form of the model set out in the annex to the Convention.</p> | <p>Bunkers Convention 2001, article 7</p> |
| | <p>Certificate of insurance or other financial security in respect of liability for the removal of wrecks Certificate attesting that insurance or other financial security is in force in accordance with the provisions of the Convention shall be issued to each ship of 300 gross tonnage and above by the appropriate authority of the State of the ship's registry after determining that the requirements of article 12.1 have been complied with. With respect to a ship registered in a State Party, such certificate shall be issued or certified by the appropriate authority of the State of the ship's registry; with respect to a ship not registered in a State Party it may be issued or certified by the appropriate authority of any State Party. This compulsory insurance certificate shall be in the form of the model set out in the annex to the Convention.</p> | <p>Nairobi WRC 2007, article 12</p> |
| <p>2</p> | <p>In addition to the certificates listed in section 1 above, passenger ships shall carry:</p> | |
| | <p>Passenger Ship Safety Certificate A certificate called a Passenger Ship Safety Certificate shall be issued after inspection and survey to a passenger ship which complies with the requirements of chapters II-1, II-2, III, IV and V and any other relevant requirements of SOLAS 1974. A Record of Equipment for the Passenger Ship Safety Certificate (Form P) shall be permanently attached.</p> | <p>SOLAS 1974, regulation I/12; 1988 SOLAS Protocol, regulation I/12</p> |
| | <p>Decision support system for masters In all passenger ships, a decision support system for emergency management shall be provided on the navigation bridge.</p> | <p>SOLAS 1974, regulation III/29</p> |
| | <p>Search and rescue cooperation plan Passenger ships to which chapter I of the Convention applies shall have on board a plan for cooperation with appropriate search and rescue services in event of an emergency.</p> | <p>SOLAS 1974, regulation V/7.3</p> |

| No. | Contents | Reference |
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| | <p>List of operational limitations Passenger ships to which chapter I of the Convention applies shall keep on board a list of all limitations on the operation of the ship, including exemptions from any of the SOLAS regulations, restrictions in operating areas, weather restrictions, sea state restrictions, restrictions in permissible loads, trim, speed and any other limitations, whether imposed by the Administration or established during the design or the building stages.</p> | SOLAS 1974, regulation V/30 |
| | <p>Special Trade Passenger Ship Safety Certificate, Special Trade Passenger Ship Space Certificate A Special Trade Passenger Ship Safety Certificate issued under the provisions of the Special Trade Passenger Ships Agreement, 1971. A certificate called a Special Trade Passenger Ship Space Certificate shall be issued under the provisions of the Protocol on Space Requirements for Special Trade Passenger Ships, 1973.</p> | STP 71, rule 5 SSTP 73, rule 5 |
| | <p>Certificate of insurance or other financial security in respect of liability for the death of and personal injury to passengers A certificate attesting that insurance or other financial security is in force in accordance with the provisions of this Convention shall be issued to each ship that is licensed to carry more than 12 passengers, after the appropriate authority of a State Party has determined that the requirements of Article 4<i>bis</i> paragraph 1 have been complied with. With respect to a ship registered in a State Party, such certificate shall be issued or certified by the appropriate authority of the State of the ship's registry; with respect to a ship not registered in a State Party it may be issued or certified by the appropriate authority of any State Party. A State Party may authorize an institution or an organization recognized by it to issue the certificate. The certificate shall be in the form of the model set out in the annex to the Convention Pursuant to resolution A.988(24), States are recommended to ratify the Athens Protocol as soon as possible with the reservation that they reserve the right to issue and accept insurance certificates with such special exceptions and limitations as the insurance market conditions at the time of issue of the certificate may necessitate, examples being the biochemical clause and terrorism-related clauses (Circular Letter No.2758 refers)</p> | PAL 1974 as modified by PAL Protocol 2002, article 4 <i>bis</i> ; resolution A.988(24); Circular Letter No.2758 |
| <p>3</p> | <p>In addition to the certificates listed in section 1 above, cargo ships shall carry:</p> | |
| | <p>Cargo Ship Safety Construction Certificate A certificate called a Cargo Ship Safety Construction Certificate shall be issued after survey to a cargo ship of 500 gross tonnage and over which satisfies the requirements for cargo ships on survey, set out in regulation I/10 of SOLAS 1974, and complies with the applicable requirements of chapters II-1 and II-2, other than those relating to fire-extinguishing appliances and fire-control plans.</p> | SOLAS 1974, regulation I/12; 1988 SOLAS Protocol, regulation I/12 |

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| | <p>Cargo Ship Safety Equipment Certificate A certificate called a Cargo Ship Safety Equipment Certificate shall be issued after survey to a cargo ship of 500 gross tonnage and over which complies with the relevant requirements of chapters II-1 and II-2, III and V and any other relevant requirements of SOLAS 1974. A Record of Equipment for the Cargo Ship Safety Equipment Certificate (Form E) shall be permanently attached.</p> | <p>SOLAS 1974, regulation I/12; 1988 SOLAS Protocol, regulation I/12</p> |
| | <p>Cargo Ship Safety Radio Certificate A certificate called a Cargo Ship Safety Radio Certificate shall be issued after survey to a cargo ship of 300 gross tonnage and over, fitted with a radio installation, including those used in life-saving appliances, which complies with the requirements of chapter IV and any other relevant requirements of SOLAS 1974. A Record of Equipment for the Cargo Ship Safety Radio Certificate (Form R) shall be permanently attached.</p> | <p>SOLAS 1974, regulation I/12, as amended by the GMDSS amendments; 1988 SOLAS Protocol, regulation I/12</p> |
| | <p>Cargo Ship Safety Certificate A certificate called a Cargo Ship Safety Certificate may be issued after survey to a cargo ship which complies with the relevant requirements of chapters II-1, II-2, III, IV and V and other relevant requirements of SOLAS 1974 as modified by the 1988 SOLAS Protocol, as an alternative to the Cargo Ship Safety Construction Certificate, Cargo Ship Safety Equipment Certificate and Cargo Ship Safety Radio Certificate. A Record of Equipment for the Cargo Ship Safety Certificate (Form C) shall be permanently attached.</p> | <p>1988 SOLAS Protocol, regulation I/12</p> |
| | <p>Ship Structure Access Manual This regulation applies to oil tankers of 500 gross tonnage and over and bulk carriers, as defined in regulation IX/1, of 20,000 gross tonnage and over, constructed on or after 1 January 2006. A ship's means of access to carry out overall and close-up inspections and thickness measurements shall be described in a Ship structure access manual approved by the Administration, an updated copy of which shall be kept on board.</p> | <p>SOLAS 1974, regulation II-1/3-6</p> |
| | <p>Cargo Information The shipper shall provide the master or his representative with appropriate information, confirmed in writing, on the cargo, in advance of loading. In bulk carriers, the density of the cargo shall be provided in the above information.</p> | <p>SOLAS 1974, regulations VI/2 and XII/10; MSC/Circ.663</p> |
| | <p>Bulk Carrier Booklet To enable the master to prevent excessive stress in the ship's structure, the ship loading and unloading solid bulk cargoes shall be provided with a booklet referred to in SOLAS regulation VI/7.2. The booklet shall be endorsed by the Administration or on its behalf to indicate that SOLAS regulations XII/4, 5, 6 and 7, as appropriate, are complied with. As an alternative to a separate booklet, the required information may be contained in the intact stability booklet.</p> | <p>SOLAS 1974, regulations VI/7 and XII/8; Code of Practice for the Safe Loading and Unloading of Bulk Carriers (BLU Code)</p> |

| No. | Contents | Reference |
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| | <p>Document of authorization for the carriage of grain and grain loading manual A document of authorization shall be issued for every ship loaded in accordance with the regulations of the International Code for the Safe Carriage of Grain in Bulk. The document shall accompany or be incorporated into the grain loading manual provided to enable the master to meet the stability requirements of the Code.</p> | <p>SOLAS 1974, regulation VI/9; International Code for the Safe Carriage of Grain in Bulk, section 3</p> |
| | <p>Enhanced survey report file Bulk carriers and oil tankers shall have a survey report file and supporting documents complying with paragraphs 6.2 and 6.3 of annex A/annex B, part A/part B, 2011 ESP Code.</p> | <p>SOLAS 1974, regulation XI-1/2; 2011 ESP Code (resolution A.1049(27), as amended)</p> |
| | <p>Dedicated Clean Ballast Tank Operation Manual Every product carrier of 40,000 tonnes deadweight and above delivered on or before 1 June 1982, operating with dedicated clean ballast tanks shall be provided with a Dedicated Clean Ballast Tank Operation Manual detailing the system and specifying operational procedures. Such a Manual shall be to the satisfaction of the Administration and shall contain all the information set out in the Specifications referred to in subparagraph 8.2 of MARPOL Annex I regulation 18. If an alteration affecting the dedicated clean ballast tank system is made, the Operation Manual shall be revised accordingly.</p> | <p>MARPOL Annex I, regulation 18.8; resolution A.495(XII)</p> |
| | <p>Condition Assessment Scheme (CAS) Statement of Compliance, CAS Final Report and Review Record A Statement of Compliance shall be issued by the Administration to every oil tanker which has been surveyed in accordance with the requirements of the Condition Assessment Scheme (CAS) and found to be in compliance with these requirements. In addition, a copy of the CAS Final Report which was reviewed by the Administration for the issue of the Statement of Compliance and a copy of the relevant Review Record shall be placed on board to accompany the Statement of Compliance.</p> | <p>MARPOL Annex I, regulations 20 and 21; resolution MEPC.94(46), as amended by resolutions MEPC.99(48), MEPC.112(50), MEPC.131(53), resolution MEPC.155(55), and MEPC.236(65)</p> |
| | <p>Subdivision and stability information Every oil tanker to which regulation 28 of Annex I of MARPOL applies shall be provided in an approved form with information relative to loading and distribution of cargo necessary to ensure compliance with the provisions of this regulation and data on the ability of the ship to comply with damage stability criteria as determined by this regulation.</p> | <p>MARPOL Annex I, regulation 28</p> |
| | <p>Record of oil discharge monitoring and control system for the last ballast voyage Subject to the provisions of paragraphs 4 and 5 of regulation 3 of MARPOL Annex I, every oil tanker of 150 gross tonnage and above shall be equipped with an oil discharge monitoring and control system approved by the Administration. The system shall be fitted with a recording device to provide a continuous record of the discharge in litres per nautical mile and total quantity discharged, or the oil content and rate of discharge. The record shall be identifiable as to time and date and shall be kept for at least three years.</p> | <p>MARPOL Annex I, regulation 31</p> |

| No. | Contents | Reference |
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| | <p>Oil Discharge Monitoring and Control (ODMC) Operational Manual Every oil tanker fitted with an Oil Discharge Monitoring and Control system shall be provided with instructions as to the operation of the system in accordance with an operational manual approved by the Administration.</p> | <p>MARPOL Annex I, regulation 31; resolution A.496(XII); resolution A.586(14), as amended by resolution MEPC.24(22); resolution MEPC.108(49), as amended by MEPC.240(65)</p> |
| | <p>Crude Oil Washing Operation and Equipment Manual (COW Manual) Every oil tanker operating with crude oil washing systems shall be provided with an Operations and Equipment Manual detailing the system and equipment and specifying operational procedures. Such a Manual shall be to the satisfaction of the Administration and shall contain all the information set out in the specifications referred to in regulation 35 of Annex I of MARPOL.</p> | <p>MARPOL Annex I, regulation 35; resolution MEPC.81(43)</p> |
| | <p>STS Operation Plan and Records of STS Operations Any oil tanker involved in STS operations shall carry on board a plan prescribing how to conduct STS operations (STS operations Plan) not later than the date of the first annual, intermediate or renewal survey of the ship to be carried out on or after 1 January 2011. Each oil tanker's STS operations plan shall be approved by the Administration. The STS operations plan shall be written in the working language of the ship.</p> <p>Records of STS operations shall be retained on board for three years and be readily available for inspection.</p> | <p>MARPOL Annex I, regulation 41</p> |
| | <p>VOC Management Plan A tanker carrying crude oil, to which MARPOL Annex VI, regulation 15.1 applies, shall have on board and implement a VOC Management Plan.</p> | <p>MARPOL Annex VI, regulation 15.6</p> |
| | <p>Document of approval for the stability instrument All ships, subject to the IBC, IGC, BCH and GC Codes, should be fitted with a stability instrument capable of verifying compliance with intact and damage stability approved by the Administration, at the first scheduled renewal survey of the ship on or after 1 January 2016, but not later than 1 January 2021, having regard to the performance standards recommended by the Organization. The Administration should issue a document of approval for the stability instrument.</p> | <p>IBC Code para. 2.2.6; IGC Code para. 2.2.6; BCH code para. 2.2.1.2; GC Code para. 2.2.4; 2008 IS Code; MSC.1/Circ.1229; MSC.1/Circ.1461.</p> |
| | <p>Certificate of insurance or other financial security in respect of civil liability for oil pollution damage A certificate attesting that insurance or other financial security is in force shall be issued to each ship carrying more than 2,000 tonnes of oil in bulk as cargo. It shall be issued or certified by the appropriate authority of the State of the ship's registry after determining that the requirements of article VII, paragraph 1, of the CLC Convention have been complied with.</p> | <p>CLC 1969, article VII</p> |

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| | <p>Certificate of insurance or other financial security in respect of civil liability for oil pollution damage A certificate attesting that insurance or other financial security is in force in accordance with the provisions of the 1992 CLC Convention shall be issued to each ship carrying more than 2,000 tonnes of oil in bulk as cargo after the appropriate authority of a Contracting State has determined that the requirements of article VII, paragraph 1, of the Convention have been complied with. With respect to a ship registered in a Contracting State, such certificate shall be issued by the appropriate authority of the State of the ship's registry; with respect to a ship not registered in a Contracting State, it may be issued or certified by the appropriate authority of any Contracting State.</p> | CLC 1992, article VII |
| 4 | <p>In addition to the certificates listed in sections 1 and 3 above, where appropriate, any ship carrying noxious liquid chemical substances in bulk shall carry:</p> | |
| | <p>International Pollution Prevention Certificate for the Carriage of Noxious Liquid Substances in Bulk (NLS Certificate) An international pollution prevention certificate for the carriage of noxious liquid substances in bulk (NLS Certificate) shall be issued, after survey in accordance with the provisions of regulation 8 of Annex II of MARPOL, to any ship carrying noxious liquid substances in bulk and which is engaged in voyages to ports or terminals under the jurisdiction of other Parties to MARPOL. In respect of chemical tankers, the Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk and the International Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk, issued under the provisions of the Bulk Chemical Code and International Bulk Chemical Code, respectively, shall have the same force and receive the same recognition as the NLS Certificate.</p> | MARPOL Annex II, regulation 9 |
| | <p>Cargo record book Ships carrying noxious liquid substances in bulk shall be provided with a Cargo Record Book, whether as part of the ship's official log book or otherwise, in the form specified in appendix II to Annex II.</p> | MARPOL Annex II, regulation 15.1 |
| | <p>Procedures and Arrangements Manual (P & A Manual) Every ship certified to carry noxious liquid substances in bulk shall have on board a Procedures and Arrangements Manual approved by the Administration.</p> | MARPOL Annex II, regulation 14; resolution MEPC.18(22), as amended by resolution MEPC.62(35) |
| | <p>Shipboard Marine Pollution Emergency Plan for Noxious Liquid Substances Every ship of 150 gross tonnage and above certified to carry noxious liquid substances in bulk shall carry on board a shipboard marine pollution emergency plan for noxious liquid substances approved by the Administration.</p> | MARPOL Annex II, regulation 17; resolution MEPC.85(44), as amended by resolution MEPC.137(53) |

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| 5 | <p>In addition to the certificates listed in sections 1 and 3 above, where applicable, any chemical tanker shall carry:</p> | |
| | <p>Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk A certificate called a Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk, the model form of which is set out in the appendix to the Bulk Chemical Code, should be issued after an initial or periodical survey to a chemical tanker engaged in international voyages which complies with the relevant requirements of the Code.</p> <p><i>Note: The Code is mandatory under Annex II of MARPOL for chemical tankers constructed before 1 July 1986.</i></p> <p>or</p> | <p>BCH Code, section 1.6;</p> |
| | <p>International Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk A certificate called an International Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk, the model form of which is set out in the appendix to the International Bulk Chemical Code, should be issued after an initial or periodical survey to a chemical tanker engaged in international voyages, which complies with the relevant requirements of the Code.</p> <p><i>Note: The Code is mandatory under both chapter VII of SOLAS 1974 and Annex II of MARPOL for chemical tankers constructed on or after 1 July 1986.</i></p> | <p>IBC Code, section 1.5</p> |
| 6 | <p>In addition to the certificates listed in sections 1 and 3 above, where applicable, any gas carrier shall carry:</p> | |
| | <p>Certificate of Fitness for the Carriage of Liquefied Gases in Bulk A certificate called a Certificate of Fitness for the Carriage of Liquefied Gases in Bulk, the model form of which is set out in the appendix to the Gas Carrier Code, should be issued after an initial or periodical survey to a gas carrier which complies with the relevant requirements of the Code.</p> | <p>GC Code, section 1.6</p> |
| | <p>International Certificate of Fitness for the Carriage of Liquefied Gases in Bulk A certificate called an International Certificate of Fitness for the Carriage of Liquefied Gases in Bulk, the model form of which is set out in the appendix to the International Gas Carrier Code, should be issued after an initial or periodical survey to a gas carrier which complies with the relevant requirements of the Code.</p> <p><i>Note: The Code is mandatory under chapter VII of SOLAS 1974 for gas carriers constructed on or after 1 July 1986.</i></p> | <p>IGC Code, section 1.4</p> |

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| 7 | In addition to the certificates listed in sections 1, and 2 or 3 above, where applicable, any high-speed craft shall carry: | |
| | High-Speed Craft Safety Certificate A certificate called a High-Speed Craft Safety Certificate shall be issued after completion of an initial or renewal survey to a craft which complies with the requirements of the 1994 HSC Code or the 2000 HSC Code, as appropriate. | SOLAS 1974, regulation X/3; 1994 HSC Code, section 1.8; 2000 HSC Code, section 1.8 |
| | Permit to Operate High-Speed Craft A certificate called a Permit to Operate High-Speed Craft shall be issued to a craft which complies with the requirements set out in paragraphs 1.2.2 to 1.2.7 of the 1994 HSC Code or the 2000 HSC Code, as appropriate. | 1994 HSC Code, section 1.9; 2000 HSC Code, section 1.9 |
| 8 | In addition to the certificates listed in sections 1, and 2 or 3 above, where applicable, any ship carrying dangerous goods shall carry: | |
| | Document of compliance with the special requirements for ships carrying dangerous goods The Administration shall provide the ship with an appropriate document as evidence of compliance of construction and equipment with the requirements of regulation II-2/19 of SOLAS 1974. Certification for dangerous goods, except solid dangerous goods in bulk, is not required for those cargoes specified as class 6.2 and 7 and dangerous goods in limited quantities. | SOLAS 1974, regulation II-2/19.4 |
| 9 | In addition to the certificates listed in sections 1, and 2 or 3 above, where applicable, any ship carrying dangerous goods in packaged form shall carry: | |
| | Transport information Transport information relating to the carriage of dangerous goods in packaged form and the container/vehicle packing certificate shall be in accordance with the relevant provisions of the IMDG Code and shall be made available to the person or organization designated by the port State authority | SOLAS 1974, regulation VII/4.1 |
| | Dangerous goods manifest or stowage plan Each ship carrying dangerous goods in packaged form shall have a special list or manifest setting forth, in accordance with the classification set out in the IMDG Code, the dangerous goods on board and the location thereof. Each ship carrying dangerous goods in solid form in bulk shall have a list or manifest setting forth the dangerous goods on board and the location thereof. A detailed stowage plan, which identifies by class and sets out the location of all dangerous goods on board, may be used in place of such a special list or manifest. A copy of one of these documents shall be made available before departure to the person or organization designated by the port State authority. | SOLAS 1974, regulations VII/4.2 and VII/7-2.2; MARPOL Annex III, regulation 4 |

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| 10 | <p>In addition to the certificates listed in sections 1, and 2 or 3 above, where applicable, any ship carrying INF cargo shall carry:</p> | |
| | <p>International Certificate of Fitness for the Carriage of INF Cargo A ship carrying INF cargo shall comply with the requirements of the International Code for the Safe Carriage of Packaged Irradiated Nuclear Fuel, Plutonium and High-Level Radioactive Wastes on Board Ships (INF Code) in addition to any other applicable requirements of the SOLAS regulations and shall be surveyed and be provided with the International Certificate of Fitness for the Carriage of INF Cargo.</p> | <p>SOLAS 1974, regulation VII/16; INF Code (resolution MSC.88(71), as amended), paragraph 1.3</p> |
| 11 | <p>In addition to the certificates listed in sections 1, and 2 or 3 above, where applicable, any Nuclear Ship shall carry:</p> | |
| | <p>Operating Manual for nuclear power plant A fully detailed Operating Manual shall be prepared for the information and guidance of the operating personnel in their duties on all matters relating to the operation of the nuclear power plant having an important bearing on safety. The Administration, when satisfied, shall approve such Operating Manual and a copy shall be kept on board the ship. The Operating Manual shall always be kept up to date.</p> | <p>SOLAS 1974, regulation VIII/8</p> |
| | <p>A Nuclear Cargo Ship Safety Certificate or Nuclear Passenger Ship Safety Certificate, in place of the Cargo Ship Safety Certificate or Passenger Ship Safety Certificate, as appropriate. Every Nuclear powered ship shall be issued with the certificate required by SOLAS chapter VIII.</p> | <p>SOLAS 1974, regulation VIII/10</p> |
| 12 | <p>In addition to the certificates listed in sections 1, and 2 or 3 above, where applicable, any Ship operating in Polar waters shall carry:</p> | |
| | <p>Polar Ship Certificate Every ship to which the Polar Code applies shall have on board a valid Polar Ship Certificate. The certificate shall include a supplement recording equipment required by the Code. <i>Note: The Polar Code is expected to take effect on 1 January 2017 upon entry into force of the associated amendments to SOLAS and MARPOL Annexes I, II, IV and V.</i></p> | <p>Polar Code, part I-A Section 1.3</p> |
| | <p>Polar water operational manual (PWOM) Every ship to which the Polar Code applies shall have on board a Polar water operational manual (PWOM) as required in part I-A section 2.3 of the Code.</p> | <p>Polar Code, part I-A section 2.3</p> |

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| Other certificates and documents which are not mandatory | | |
| Special purpose ships | | |
| | <p>Special Purpose Ship Safety Certificate In addition to SOLAS certificates as specified in paragraph 7 of the Preamble of the 1983 SPS Code and 2008 SPS Code, a Special Purpose Ship Safety Certificate should be issued after survey in accordance with the provisions of paragraph 1.6 of the 1983 SPS Code and 2008 SPS Code. The duration and validity of the certificate should be governed by the respective provisions for cargo ships in SOLAS 1974. If a certificate is issued for a special purpose ship of less than 500 gross tonnage, this certificate should indicate to what extent relaxations in accordance with 1.2 were accepted.</p> <p>The 2008 SPS Code applies the every special purpose ship of not less than 500 GT certified on or after 13 May 2008.</p> | <p>1983 SPS Code (resolution A.534(13), as amended); 2008 SPS Code (resolution MSC.266(84), as amended), SOLAS 1974, regulation I/12; 1988 SOLAS Protocol, regulation I/12</p> |
| Offshore support vessels | | |
| | <p>Offshore Supply Vessel Document of Compliance The Document of Compliance should be issued after satisfied that the vessel complies with the provisions of the Guidelines for the design and construction of Offshore Supply Vessels, 2006.</p> | <p>Resolution MSC.235(82), as amended by resolution MSC.335(90)</p> |
| | <p>Certificate of Fitness for Offshore Support Vessels When carrying such cargoes, offshore support vessels should carry a Certificate of Fitness issued under the "Guidelines for the Transport and Handling of Limited Amounts of Hazardous and Noxious Liquid Substances in Bulk on Offshore Support Vessels". If an offshore support vessel carries only noxious liquid substances, a suitably endorsed International Pollution Prevention Certificate for the Carriage of Noxious Liquid Substances in Bulk may be issued instead of the above Certificate of Fitness.</p> | <p>Resolution A.673(16), as amended by resolutions MSC.184(79), MSC.236(82) and MEPC.158(55); MARPOL Annex II, regulation 11.2</p> |
| Diving systems | | |
| | <p>Diving System Safety Certificate A certificate should be issued either by the Administration or any person or organization duly authorized by it after survey or inspection to a diving system which complies with the requirements of the Code of Safety for Diving Systems. In every case, the Administration should assume full responsibility for the certificate.</p> | <p>Resolution A. 831(19), as amended by resolution MSC.185(79), section 1.6</p> |

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| | Passenger submersible craft | |
| | <p>Safety Compliance Certificate for Passenger Submersible Craft Applicable to submersible craft adapted to accommodate passengers and intended for underwater excursions with the pressure in the passenger compartment at or near one atmosphere.</p> <p>A Design and Construction Document issued by the Administration should be attached to the Safety Compliance Certificate.</p> | MSC/Circ.981, as amended by MSC/Circ.1125 |
| | Dynamically supported craft | |
| | <p>Dynamically Supported Craft Construction and Equipment Certificate To be issued after survey carried out in accordance with paragraph 1.5.1(a) of the Code of Safety for Dynamically Supported Craft.</p> | DSC Code (resolution A.373(X), as amended) section 1.6 |
| | Mobile offshore drilling units | |
| | <p>Mobile Offshore Drilling Unit Safety Certificate To be issued after survey carried out in accordance with the provisions of the Code for the Construction and Equipment of Mobile Offshore Drilling Units, 1979, or, for units constructed on or after 1 May 1991, but before 1 January 2012, the Code for the Construction and Equipment of Drilling Units, 1989, or for units constructed on or after 1 January 2012, the Code for the Construction and Equipment of Drilling Units, 2009..</p> | 1979 MODU Code (resolution A.414(XI), as amended) section 1.6; 1989 MODU Code (resolution A.649(16), as amended) section 1.6; 2009 MODU Code (resolution A.1023(26), as amended) |
| | Wing-In-Ground (WIG) Craft | |
| | <p>Wing-in-ground Craft Safety Certificate A certificate called a WIG Craft Safety Certificate should be issued after completion of an initial or renewal survey to a craft, which complies with the provisions of the Interim Guidelines for WIG craft.</p> | MSC/Circ.1054, as amended by MSC/Circ.1126, section 9 |
| | <p>Permit to Operate WIG Craft A permit to operate should be issued by the Administration to certify compliance with the provisions of the Interim Guidelines for WIG craft.</p> | MSC/Circ.1054, as amended by MSC/Circ.1126, section 10 |
| | Noise levels | |
| | <p>Noise Survey Report Applicable to existing ships to which SOLAS II-1/3-12 does not apply.</p> <p>A noise survey report should be made for each ship in accordance with the Code on Noise Levels on Board Ships.</p> | Resolution A.468(XII), section 4.3 |

ANNEX 8

STATEMENT BY THE DELEGATION OF NORWAY

ITEM 5

Thank you Mr. Chair,

First of all I would like to thank the Secretariat for this document.

Chair, I do apologize for what will be a somewhat lengthy intervention, but as you all know this is an important issue for Norway.

Norway has since our initial proposal in 2014, been fully dedicated to this project, and we have contributed both financially and also by expert assistance in consultation meetings with the IMO Secretariat together with distinguished experts from Chile, Republic of Korea and the European Commission in the first phases of the project.

As the Secretariat points out there have been no new Member States or organizations offering their assistance since FAL 40. However, it is important to bear in mind that in the initial phase of the project both the Republic of Korea, Norway as well as the European Union have made their systems available as options for IMO to choose in their development of a prototype if they so decide.

It is in our view important for IMO to continue its work towards ensuring that technology is used not only to enhance ship safety, but also to reduce administrative burdens both for ship masters as well as maritime administrations.

Facilitating the establishment of systems to ensure the electronic exchange of information and the establishment of single window systems is imperative to the modernization of shipping and facilitating trade, and we believe is at the core of FAL Committee's work.

The adoption of the FAL amendments at FAL 40 was the first step towards achieving this goal and now we must strive towards facilitating a full, efficient implementation of these amendments.

As you know the IMO has worked towards developing a new strategic framework. At the last Council meeting we agreed to new strategic directions for the period 2018-23. Strategic Direction 1 points out the need to place increased focus on implementation of IMO instruments.

In accordance with Standard 1.3*bis*, of the amendments of the FAL annex, measures for the establishment of systems for electronic exchange of information shall be taken by 9 April 2019.

Although the Secretariat has not received any formal calls for assistance, given the lack of resources many places it seems unlikely that we by 9 April 2019 will see the establishment of systems for electronic exchange of information in all ports worldwide.

Technical development lies in the heart of this strategic direction and such assistance would not only benefit developing countries but also the ship and masters of any flag state calling into ports worldwide. This allows for the reduction of administrative burdens, and a more efficient and cost-reductive system in ports. This benefits all.

We would also like to refer to the thematic priorities for the ITCP both for the current biennium as well as proposed for the coming biennium, which points towards the efficient implementation of the FAL Convention as well as electronic data processing and interchange technique such as the single window.

Even though we would like to see fully interoperable single window systems worldwide as soon as possible, we believe this to be a very challenging task at this stage. However, we do believe it is highly possible for FAL to develop an interoperable system for the exchange of information based on the FAL requirements, and at the same time ensure flexibility for individual needs and future developments towards a fully functioning global single window system.

We do understand the challenges of this task, however, it is a task we should be fully capable of solving.

We are of the opinion that the FAL Committee must take the lead and facilitate for the implementation of the amendments to the convention, (and this project is in many ways imperative to the implementation of the amendments.)

It is on this background that Norway believes that it is imperative for the IMO to continue its work to facilitate and develop a prototype.

So how can this be done: when Norway in 2014 first initiated this as a technical developing project, we had a vision of developing a simple basic system which accommodated for the sharing of information in accordance to the FAL requirements.

We still have this vision.

We believe the IMO should strive towards developing a simple, efficient system bearing in mind the need for interoperability. The system should primarily focus on the FAL requirements but be flexible enough to implement national reporting requirements within the framework of the prototype. Furthermore, it should be developed as a basis framework for a future single window system connecting different stakeholders.

Failure to do anything could easily mean that we will not have a fully functioning electronical exchange of information globally, which in many ways would just leave us with a status quo of the situation, despite the amendments of the FAL convention.

We believe that a failure to act would not only be a loss for the IMO, but a loss for the industry, the ports and the Administrations. We have a possibility to play a role in the modernization of shipping, not only through the amended requirements, but through the establishment of a system that will reduce administrative burdens, facilitate trade, cut time in ports, and ensure an efficient implementation of the FAL requirements.

We would like to see the FAL Committee at this meeting agreeing on the basic "performance criteria for this system", such as stakeholders involved, scope of information, standards, machine to machine versus manual input, simplicity and flexibility.

Furthermore, I do hope the WG will consider alternative means for speeding up the process.

Finally, time is of the essence, as the date for having this system in place is 9 April 2019. Bearing in mind the theme for the World Maritime Day this year is "connecting ships, ports and people", there is no better time than now to show that we are fully committed to the strategy and goal of the IMO, and that we are able to act when needed.