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(Agenda item 11)

**CODE FOR THE IMPLEMENTATION OF MANDATORY
IMO INSTRUMENTS, 2007**

THE ASSEMBLY,

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

RECALLING ALSO that, by resolution A.973(24), it adopted the Code for the Implementation of Mandatory IMO Instruments,

RECOGNIZING the need for the above Code to be revised to take account of the amendments to the IMO instruments referred to above, which have entered into force or become effective since the adoption of resolution A.973(24),

BEING AWARE of the request of the seventh session of the UN Commission on Sustainable Development (CSD 7) that measures be developed to ensure that flag States give full and complete effect to the IMO and other relevant conventions to which they are party, so that the ships of all flag States meet international rules and standards,

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

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

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

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NOTING that, while States may realize certain benefits by becoming party to instruments aiming at promoting maritime safety, security and the prevention of pollution from ships, these benefits can only be fully realized when all parties carry out their obligations as required by the instruments concerned,

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

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

NOTING FURTHER that, in the context of the Voluntary IMO Member State Audit Scheme, the enactment of appropriate legislation and its implementation and enforcement are the three key issues on which a Member State's performance can be measured,

BEARING IN MIND that the Voluntary IMO Member State Audit Scheme contains references to the Code for the Implementation of Mandatory IMO Instruments, as appropriate; and that the Code, in addition to providing guidance for the implementation and enforcement of IMO instruments, forms the basis of the Audit Scheme, in particular concerning the identification of the auditable areas,

HAVING CONSIDERED the recommendations made by the Maritime Safety Committee, at its eighty-third session and the Marine Environment Protection Committee, at its fifty-sixth session,

1. ADOPTS the Code for the Implementation of Mandatory IMO Instruments, 2007, set out in the annex to the present resolution;
2. URGES Governments of all States in their capacity as flag, port and coastal States to implement the Code on a national basis;
3. REQUESTS the Maritime Safety Committee and the Marine Environment Protection Committee to keep the Code under review and, in co-ordination with the Council, to propose amendments thereto to the Assembly;
4. REVOKES resolution A.973(24).

ANNEX

CODE FOR THE IMPLEMENTATION OF MANDATORY IMO INSTRUMENTS, 2007

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PART 1 – COMMON AREAS

Objective

1 The objective of this Code is to enhance global maritime safety and protection of the marine environment.

2 Different Administrations will view this Code according to their own circumstances and will be bound only for the implementation of those instruments referred to in paragraph 6 to which they are Contracting Governments or Parties. By virtue of geography and circumstance some Administrations may have a greater role as a flag State than as a port State or as a coastal State, whilst others may have a greater role as a coastal State or port State than as a flag State. Such imbalances do not diminish, in any way, their duties as a flag, port or coastal State.

Strategy

3 In order for a State to meet the objective of this Code, a strategy should be developed, covering the following issues:

- .1 implementation and enforcement of relevant international mandatory instruments;
- .2 adherence to international recommendations, as appropriate;
- .3 continuous review and verification of the effectiveness of the State in respect of meeting its international obligations; and
- .4 the achievement, maintenance and improvement of overall organizational performance and capability.

In implementing the aforementioned strategy, the guidance given in this Code should be adhered to.

General

4 Under the provisions of the United Nations Convention on the Law of the Sea, 1982 (UNCLOS) and of IMO conventions, Administrations are responsible for promulgating laws and regulations and for taking all other steps which may be necessary to give these instruments full and complete effect so as to ensure that, from the point of view of safety of life at sea and protection of the marine environment, a ship is fit for the service for which it is intended and is manned with competent maritime personnel.

5 In taking measures to prevent, reduce and control pollution of the marine environment, States shall act so as not to transfer, directly or indirectly, damage or hazards from one area to another or transform one type of pollution into another. (UNCLOS, article 195.)

Scope

6 The mandatory IMO instruments addressed in this Code are:

- .1 the International Convention for the Safety of Life at Sea, 1974, as amended (SOLAS 1974);
- .2 the Protocol of 1978 relating to the International Convention for the Safety of Life at Sea, 1974, as amended (SOLAS PROT 1978);

- .3 the Protocol of 1988 relating to the International Convention for the Safety of Life at Sea, 1974, as amended (SOLAS PROT 1988);
- .4 the International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 relating thereto, as amended (MARPOL 73/78);
- .5 the Protocol of 1997 to amend the International Convention for the Prevention of Pollution from Ships, 1973, as modified by the Protocol of 1978 relating thereto, as amended (MARPOL PROT 1997);
- .6 the International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978, as amended (STCW 1978);
- .7 the International Convention on Load Lines, 1966 (LL 66);
- .8 the Protocol of 1988 relating to the International Convention on Load Lines, 1966 (LL PROT 1988);
- .9 the International Convention on Tonnage Measurement of Ships, 1969 (TONNAGE 1969); and
- .10 the Convention on the International Regulations for Preventing Collisions at Sea, 1972, as amended (COLREG 1972),

as well as all instruments made mandatory through these conventions and protocols. Non-exhaustive lists of obligations under the above mandatory instruments are found in annexes 1 to 4. A list of the relevant instruments is given in annex 5 and a summary of amendments to mandatory instruments reflected in the Code is given in annex 6.

Initial actions

7 When a new or amended IMO mandatory instrument enters into force for a State, the Government of that State must be in a position to implement and enforce its provisions through appropriate national legislation and to provide the necessary implementation and enforcement infrastructure. This means that the Government of the State must have:

- .1 the ability to promulgate laws which permit effective jurisdiction and control in administrative, technical and social matters over ships flying its flag and, in particular, provide the legal basis for general requirements for registries, the inspection of ships, safety and pollution-prevention laws applying to such ships and the making of associated regulations;
- .2 a legal basis for the enforcement of its national laws and regulations including the associated investigative and penal processes; and
- .3 the availability of sufficient personnel with maritime expertise to assist in the promulgation of the necessary national laws and to discharge all the responsibilities of the State, including reporting as required by the respective conventions.

8 A possible framework for national legislation to give effect to the provisions of relevant IMO instruments can be found in “Guidelines for Maritime Legislation”, a United Nations publication*.

Communication of information

9 The State should communicate its strategy, as referred to in paragraph 3, including information on its national legislation to all concerned.

Records

10 Records, as appropriate, should be established and maintained to provide evidence of conformity to requirements and of the effective operation of the State. Records should remain legible, readily identifiable and retrievable. A documented procedure should be established to define the controls needed for the identification, storage, protection, retrieval, retention time and disposition of records.

Improvement

11 States should continually improve the adequacy of the measures which are taken to give effect to those conventions and protocols which they have accepted. Improvement should be made through rigorous and effective application and enforcement of national legislation, as appropriate, and monitoring of compliance.

12 The State should stimulate a culture which provides opportunities to people for improvement of performance in maritime safety and environmental protection activities.

13 Further, the State should take action to identify and eliminate the cause of any non-conformities in order to prevent recurrence, including:

- .1 review and analysis of non-conformities;
- .2 implementation of necessary corrective action; and
- .3 review of the corrective action taken.

14 The State should determine action to eliminate the causes of potential non-conformities in order to prevent their occurrence.

PART 2 – FLAG STATES

Implementation

15 In order to effectively discharge their responsibilities and obligations, flag States should:

- .1 implement policies through the issuance of national legislation and guidance which will assist in the implementation and enforcement of the requirements of all safety and pollution prevention conventions and protocols to which they are party; and
- .2 assign responsibilities within their Administration to update and revise any relevant policies adopted, as necessary.

* ST/ESCAP/1076.

16 Flag States should establish resources and processes capable of administering a safety and environmental protection programme which, as a minimum, should consist of the following:

- .1 administrative instructions to implement applicable international rules and regulations as well as develop and disseminate any interpretative national regulations that may be needed;
- .2 resources to ensure compliance with the requirements of the mandatory IMO instruments listed in paragraph 6 using an audit and inspection programme independent of any administrative bodies issuing the required certificates and relevant documentation and/or of any entity which has been delegated authority by the flag States to issue the required certificates and relevant documentation;
- .3 resources to ensure compliance with the requirements of the 1978 STCW Convention, as amended. This includes resources to ensure, *inter alia*, that:
 - .3.1 training, assessment of competence and certification of seafarers are in accordance with the provisions of the Convention;
 - .3.2 STCW certificates and endorsements accurately reflect the competencies of the seafarers, using the appropriate STCW terminology as well as terms which are identical to those used in any safe manning document issued to the ship;
 - .3.3 impartial investigation can be held of any reported failure, whether by act or omission, that may pose a direct threat to safety of life or property at sea or to the marine environment, by the holders of certificates or endorsements issued by that Party;
 - .3.4 certificates or endorsements issued by the flag State can be effectively withdrawn, suspended or cancelled when warranted, and when necessary to prevent fraud; and
 - .3.5 administrative arrangements, including those involving training, assessment and certification activities conducted under the purview of another State, are such that the flag State accepts its responsibility for ensuring the competence of masters, officers and other seafarers serving on ships entitled to fly its flag^{*};
- .4 resources to ensure the conduct of investigations into casualties and adequate and timely handling of cases of ships with identified deficiencies; and
- .5 the development, documentation and provision of guidance concerning those requirements that are to the satisfaction of the Administration, found in relevant mandatory IMO instruments.

17 Flag States shall ensure that ships entitled to fly their flag are sufficiently and efficiently manned, taking into account the Principles of Safe Manning adopted by IMO.

* Regulations I/2, I/9, I/10 and I/11 of the 1978 STCW Convention, as amended.

Delegation of authority

18 Flag States authorizing recognized organizations to act on their behalf in conducting the surveys, inspections, the issue of certificates and documents, the marking of ships and other statutory work required under the IMO conventions must regulate such authorization in accordance with SOLAS regulation XI-1/1 to:

- .1 determine that the recognized organization has adequate resources in terms of technical, managerial and research capabilities to accomplish the tasks being assigned, in accordance with the “Minimum Standards for Recognized Organizations Acting on Behalf of the Administration” set out in the relevant IMO resolution^{*};
- .2 have as its basis a formal written agreement between the Administration and the recognized organization which, as a minimum, includes the elements set out in the relevant IMO resolution^{**}, or equivalent legal arrangements, and which may be based on the model agreement for the authorization of recognized organizations acting on behalf of the Administration^{***};
- .3 issue specific instructions detailing actions to be followed in the event that a ship is found unfit to proceed to sea without danger to the ship or persons on board, or is found to present an unreasonable threat of harm to the marine environment;
- .4 provide the recognized organization with all appropriate instruments of national law and interpretations thereof giving effect to the provisions of the conventions or specify whether the Administration’s standards go beyond convention requirements in any respect; and
- .5 require that the recognized organization must maintain records which will provide the Administration with data to assist in interpretation of convention regulations.

19 Flag States nominating surveyors for the purpose of carrying out surveys and inspections on their behalf should regulate such nominations, as appropriate, in accordance with the guidance provided in paragraph 18, in particular subparagraphs .3 and .4.

20 The flag State should establish or participate in an oversight programme with adequate resources for monitoring of, and communication with, its recognized organizations in order to ensure that its international obligations are fully met, by:

- .1 exercising its authority to conduct supplementary surveys to ensure that ships entitled to fly its flag in fact comply with mandatory IMO instruments;
- .2 conducting supplementary surveys as it deems necessary to ensure that ships entitled to fly its flag comply with national requirements which supplement the IMO convention requirements; and

^{*} Appendix 1 of resolution A.739(18) “Guidelines for the authorization of organizations acting on behalf of the Administration”.

^{**} Appendix 2 of resolution A.739(18) “Guidelines for the authorization of organizations acting on behalf of the Administration”.

^{***} MSC/Circ.710-MEPC/Circ.307.

- .3 providing staff who have a good knowledge of the rules and regulations of the flag State and the recognized organizations and who are available to carry out effective field oversight of the recognized organizations.

Enforcement

21 Flag States should take all necessary measures to secure observance of international rules and standards by ships entitled to fly their flag and by entities and persons under their jurisdiction so as to ensure compliance with their international obligations. Such measures should, *inter alia*, include:

- .1 prohibiting ships entitled to fly their flag from sailing until such ships can proceed to sea in compliance with the requirements of international rules and standards;
- .2 the periodic inspection of ships entitled to fly their flag to verify that the actual condition of the ship and its crew is in conformity with the certificates it carries;
- .3 the surveyor ensuring, during the periodic inspection referred to in subparagraph .2, that seafarers assigned to the ships are familiar with:
 - .3.1 their specific duties; and
 - .3.2 ship arrangements, installations, equipments and procedures;
- .4 ensuring that the ship's complement, as a whole, can effectively co-ordinate their activities in an emergency situation and in performing functions vital to safety or to the prevention or mitigation of pollution;
- .5 providing, in national laws and regulations, for penalties of adequate severity to discourage violation of international rules and standards by ships entitled to fly their flag;
- .6 instituting proceedings – after an investigation has been conducted – against ships entitled to fly their flag which have violated international rules and standards, irrespective of where the violation has occurred;
- .7 providing, in national laws and regulations, for penalties of adequate severity to discourage violations of international rules and standards by individuals issued with certificates or endorsements under their authority; and
- .8 instituting proceedings – after an investigation has been conducted – against individuals holding certificates or endorsements who have violated international rules and standards, irrespective of where the violation has occurred.

22 A flag State should consider developing and implementing a control and monitoring programme, as appropriate, in order to:

- .1 provide for prompt and thorough casualty investigations, with reporting to IMO as appropriate;
- .2 provide for the collection of statistical data, so that trend analyses can be conducted to identify problem areas; and

- .3 provide for a timely response to deficiencies and alleged pollution incidents reported by port or coastal States.

23 Furthermore, the flag State should:

- .1 ensure compliance with applicable IMO instruments through national legislation;
- .2 provide an appropriate number of qualified personnel to implement and enforce the national legislation referred to in subparagraph 15.1, including personnel for performing investigations and surveys;
- .3 provide a sufficient number of qualified flag State personnel to investigate incidents where ships entitled to fly its flag have been detained by port States;
- .4 provide a sufficient number of qualified flag State personnel to investigate incidents where the validity of a certificate or endorsement or competence of individuals holding certificates or endorsements issued under its authority are questioned by port States; and
- .5 ensure the training and oversight of the activities of flag State surveyors and investigators.

24 When a State is informed that a ship entitled to fly its flag has been detained by a port State, the flag State should oversee that appropriate corrective measures to bring the ship in question into immediate compliance with the applicable international conventions are taken.

25 A flag State, or a recognized organization acting on its behalf, should only issue or endorse an international certificate to a ship after it has determined that the ship meets all applicable requirements.

26 A flag State should only issue an international certificate of competency or endorsement to a person after it has determined that the person meets all applicable requirements.

Flag State surveyors

27 The flag State should define and document the responsibilities, authority and interrelation of all personnel who manage, perform and verify work relating to and affecting safety and pollution prevention.

28 Personnel responsible for, or performing, surveys, inspections and audits on ships and companies covered by the relevant IMO mandatory instruments should have as a minimum the following:

- .1 appropriate qualifications from a marine or nautical institution and relevant seagoing experience as a certificated ship officer holding or having held a valid STCW II/2 or III/2 certificate of competency and have maintained their technical knowledge of ships and their operation since gaining their certificate of competency; or
- .2 a degree or equivalent from a tertiary institution within a relevant field of engineering or science recognized by the State.

29 Personnel qualified under 28.1 should have served for a period of not less than three years at sea as an officer in the deck or engine department.

30 Personnel qualified under 28.2 should have worked in a relevant capacity for at least three years.

31 In addition such personnel should have appropriate practical and theoretical knowledge of ships, their operation and the provisions of the relevant national and international instruments necessary to perform their duties as flag State surveyors obtained through documented training programmes.

32 Other personnel assisting in the performance of such work should have education, training and supervision commensurate with the tasks they are authorized to perform.

33 Previous relevant experience in the field of expertise should be considered an advantage; in case of no previous experience the Administration should provide appropriate field training.

34 Flag States may accredit surveyors through a formalized, detailed training programme that leads to the same standard of knowledge and ability as that required in paragraphs 28 to 31.

35 The flag State should have implemented a documented system for qualification of personnel and continuous updating of their knowledge as appropriate to the tasks they are authorized to undertake.

36 Depending on the function(s) to be performed the qualifications should encompass:

- .1 knowledge of applicable international and national rules and regulations for ships, their companies, their crew, their cargo and their operation;
- .2 knowledge of the procedures to be applied in survey, certification, control, investigative and oversight functions;
- .3 understanding of the goals and objectives of the international and national instruments dealing with maritime safety and protection of the marine environment, and of related programmes;
- .4 understanding of the processes both on board and ashore, internal as well as external;
- .5 possession of professional competency necessary to perform the given tasks effectively and efficiently;
- .6 full safety awareness in all circumstances, also for one's own safety; and
- .7 training or experience in the various tasks to be performed and, preferably, also in the functions to be assessed.

37 The flag State should issue an identification document for the surveyor to carry when performing his/her tasks.

Flag State investigations

38 Investigations should be carried out following a marine casualty or pollution incident. Casualty investigations should be conducted by suitably qualified investigators, competent in matters relating to the casualty. The flag State should be prepared to provide qualified investigators for this purpose, irrespective of the location of the casualty or incident.

39 The flag State should ensure that individual investigators have working knowledge and practical experience in those subject areas pertaining to their normal duties. Additionally, to assist individual investigators in performing duties outside their normal assignments, the flag State should ensure ready access to expertise in the following areas, as necessary:

- .1 navigation and the Collision Regulations;
- .2 flag State regulations on certificates of competency;
- .3 causes of marine pollution;
- .4 interviewing techniques;
- .5 evidence gathering; and
- .6 evaluation of the effects of the human element.

40 Any accidents involving personal injury necessitating absence from duty of three days or more and any deaths resulting from occupational accidents and casualties to ships of the flag State should be investigated, and the results of such investigations made public.

41 Ship casualties should be investigated and reported in accordance with the relevant IMO conventions, and the guidelines developed by IMO^{*}. The report on the investigation should be forwarded to IMO together with the flag State's observations, in accordance with the guidelines referred to above.

Evaluation and review

42 The flag States should, on a periodic basis, evaluate their performance with respect to the implementation of administrative processes, procedures and resources necessary to meet their obligations as required by the conventions to which they are party.

43 Measures to evaluate the performance of the flag States may include, *inter alia*, port State control detention rates, flag State inspection results, casualty statistics, communication and information processes, annual loss statistics (excluding constructive total losses (CTLs)), and other performance indicators as may be appropriate, to determine whether staffing, resources and administrative procedures are adequate to meet their flag State obligations.

* Refer to the Code for the Investigation of Marine Casualties and Incidents, adopted by the Organization by resolution A.849(20), as amended by resolution A.884(21), and the Code of the International Standards and Recommended Practices for a Safety Investigation into a Marine Casualty or Marine Incident (Casualty Investigation Code) as may be adopted by the Organization.

44 Measures may include a regular review of:

- .1 fleet loss and accident ratios to identify trends over selected time periods;
- .2 the number of verified cases of detained ships in relation to the size of the fleet;
- .3 the number of verified cases of incompetence or wrongdoing by individuals holding certificates or endorsements issued under its authority;
- .4 responses to port State deficiency reports or interventions;
- .5 investigations into very serious and serious casualties and lessons learned from them;
- .6 financial, technical and other resources committed;
- .7 results of inspections, surveys and controls of the ships in the fleet;
- .8 investigation of occupational accidents;
- .9 the number of incidents and violations under MARPOL 73/78, as amended; and
- .10 the number of suspensions or withdrawals of certificates, endorsements, approvals, etc.

PART 3 – COASTAL STATES

Implementation

45 Coastal States have certain rights and obligations under various mandatory IMO instruments. When exercising their rights under the instruments coastal States incur additional obligations.

46 In order to effectively meet their obligations, coastal States should:

- .1 implement policies and guidance which will assist in the implementation and enforcement of their obligations; and
- .2 assign responsibilities within their Administration to update and revise any relevant policies adopted, as necessary.

Enforcement

47 Coastal States should take all necessary measures to ensure their observance of international rules when exercising their rights and fulfilling their obligations.

48 A coastal State should consider developing and implementing a control and monitoring programme, as appropriate, in order to:

- .1 provide for the allocation of statistical data so that trend analyses can be conducted to identify problem areas;

- .2 provide for timely response to pollution incidents in its waters; and
- .3 co-operate with flag States and/or port States, as appropriate, in investigations of maritime casualties.

Evaluation and review

49 Coastal States should periodically evaluate their performance in respect of exercising their rights and meeting their obligations under mandatory IMO instruments.

PART 4 – PORT STATES

Implementation

50 Port States have certain rights and obligations under various mandatory IMO instruments. When exercising their rights under the instruments, port States incur additional obligations.

51 Port States can play an integral role in the achievement of maritime safety and environmental protection, including pollution prevention. The role and responsibilities of the port State with respect to maritime safety and environmental protection is derived from a combination of international treaties, conventions, national laws, as well as in some instances, bilateral and multilateral agreements.

Enforcement

52 Port States should take all necessary measures to ensure their observance of international rules when exercising their rights and fulfilling their obligations.

53 Several IMO conventions contain specific provisions that permit port State control.

54 In this respect, SOLAS, as modified by its 1988 Protocol, MARPOL and STCW also contain provisions that obligate port States to treat non-Parties to those conventions no more favourably than those that are Parties. This means that port States are obliged to impose the conditions of the conventions on Parties as well as on non-Parties.

55 When exercising their right to carry out port State control, a port State should establish processes to administer a port State control programme consistent with the relevant resolution adopted by the Organization*.

56 Port State control should be carried out only by authorized and qualified port State control officers in accordance with the relevant procedures adopted by the Organization*.

57 Port State control officers and persons assisting them should have no commercial interest, either in the port of inspection or the ships inspected, nor should the port State control officers be employed by or undertake work on behalf of recognized organizations or classification societies.

Evaluation and review

58 Port States should periodically evaluate their performance in respect of exercising their rights and meeting their obligations under mandatory IMO instruments.

* Refer to the Procedures for Port State Control (resolution A.787(19), as amended by resolution A.882(21)).

ANNEX 1

OBLIGATIONS OF CONTRACTING GOVERNMENTS/PARTIES

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

Obligations of Contracting Governments/Parties		
Source	Summary description	Comments
TONNAGE 69		
Art. 1	General obligation under the Convention	
Art. 5(2)	Force majeure	
Art. 8	Issue of a certificate by another Government	
Art. 10	Cancellation of certificate	
Art. 11	Acceptance of certificates	
Art. 15	Communication of information	
LL 66 and LL PROT 88*		
Art. 1	General obligation under the Convention	
	General obligations	LL PROT 88 only (Art. I)
Art. 7(2)	Force majeure	
Art. 17	Issue or endorsement of certificates by another Government	amended by LL PROT 88
Art. 20	Acceptance of certificates	
Art. 25	Special rules drawn up by agreement	
Art. 26	Communication of information	
	Communication of information	LL PROT 88 only (Art. III)

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

Obligations of Contracting Governments/Parties		
Source	Summary description	Comments
COLREG 72		
Art. I	General obligations	
STCW 78		
Art. I	General obligations under the Convention	
Art. IV	Communication of information	
Art. XI(1)	Promotion of technical co-operation	
Reg. I/3	Principles governing near-coastal waters	
Reg. I/5	National provisions	
Reg. I/6	Training and assessment	
Reg. I/7	Communication of information	
Reg. I/8	Quality standards	
Reg. I/9	Medical standards – Issue and registration of certificates	
SOLAS 74		
Art. I	General obligations under the Convention	in SOLAS PROT 78 and SOLAS PROT 88
Art. III	Communication of information	in SOLAS PROT 78 and SOLAS PROT 88
Art. V(c)	Carriage of persons in emergencies – reporting	
Art. VII	Special rules drawn up by agreement	
Art. XI	Denunciation	in SOLAS PROT 88 (Art. VII)
Reg. I/13	Issue or endorsement of certificates by another Government	in SOLAS PROT 88
Reg. I/17	Acceptance of certificates	also reg. I/19(b)
Reg. I/21(b)	Casualties – reporting	

Obligations of Contracting Governments/Parties		
Source	Summary description	Comments
Reg. IV/5	Provision of radiocommunication services and communication of information on such provision	
Reg. IV/5-1	Global maritime distress and safety system identities – ensuring suitable arrangements	
Reg. V/5	Meteorological services and warnings	
Reg. V/6	Ice Patrol Service	
Reg. V/10	Ships' routing	
Reg. V/11	Ship reporting systems	
Reg. V/12	Vessel traffic services	
Reg. V/13	Establishment and operation of aids to navigation	
Reg. V/31.2	Danger messages – bring to the knowledge of those concerned and communicate to other interested Governments	
Reg. V/33.1-1	Distress situations: obligations and procedures – co-ordination and co-operation	
Reg. VI/1.2	Appropriate information on safe carriage of cargoes	
Reg. VII/2.4	Issue of instructions on emergency response, etc.	
Reg. VII/7-1	Issue of instructions on emergency response, etc.	
MARPOL		and Art. I of MARPOL PROT 78
Art. 1	General obligations under the Convention	
Art. 4(2) and (4)	Violation	
Art. 5(1)	Certificates and special rules on inspection of ships – acceptance of certificates	
Art. 5(4)	Certificates and special rules on inspection of ships – no more favourable treatment	
Art. 6(1)	Detection of violations and enforcement of the Convention – co-operation	

Obligations of Contracting Governments/Parties		
Source	Summary description	Comments
Art. 6(3)	Detection of violations and enforcement of the Convention – furnishing evidence	
Art. 7	Undue delay to ships	
Art. 8	Reports on incidents involving harmful substances	
Art. 11	Communication of information	
Art. 12(2)	Casualties to ships – information to IMO	
Art. 17	Promotion of technical co-operation	
Annex I		
Reg. 8	Issue or endorsement of a certificate by another Government	
Reg. 15.7	Control of discharge of oil – investigations (Machinery spaces)	
Reg. 34.7	Control of discharge of oil – investigations (Cargo area)	
Annex II		
Reg. 6.3	Categorization and listing of noxious liquid substances and other substances – establish and agree on provisional assessment and notify IMO	
Reg. 9.3.1, 9.3.2, 9.3.3 and 9.3.4	Issue or endorsement of a certificate by another Government	
Reg. 13.4	Control of discharges of residues – exemption for a pre-wash	
Reg. 18.3	Reception facilities and cargo unloading terminal arrangements – agree and establish a date, notify IMO	
Annex III		
Reg. 1.3	Application – issue detailed requirements	
Annex IV		
Reg. 6	Issue or endorsement of a certificate by another Government	

Obligations of Contracting Governments/Parties		
Source	Summary description	Comments
Annex VI		
Reg. 7	Issue or endorsement of a certificate by another Government	
Reg. 11(1)	Detection of violations and enforcement – co-operation	
Reg. 11(2)	Detection of violations and enforcement – inspections	
Reg. 11(3)	Detection of violations and enforcement – information to flag State on violations detected	
Reg. 18(7)	Fuel oil quality	
ISM Code		
Para 14.3	Extension of validity of Interim SMC by another Contracting Government	
1994 HSC Code		
Para 1.8.2	Issue of certificates by another Government	
Para 14.2.1.12	Definition of “sea area A1”	as may be defined
Para 14.2.1.13	Definition of “sea area A2”	as may be defined
2000 HSC Code		
Para 1.8.2	Issue of certificates by another Government	
Para 14.2.1.13	Definition of “sea area A1”	as may be defined
Para 14.2.1.14	Definition of “sea area A2”	as may be defined
IMDG Code		
Section 1.1.3	Transport of radioactive material – role of Competent Authority	
Section 5.1.5	General provisions for class 7 – role of Competent Authority	

Obligations of Contracting Governments/Parties		
Source	Summary description	Comments
Chapter 6.2	Approval of pressure receptacles, aerosol dispensers and small receptacles containing gas – role of Competent Authority	
Chapter 6.4	Approval of package design and materials for class 7 – role of Competent Authority	
Section 6.5.1.6	Testing, certification and inspection – role of Competent Authority	
Chapter 6.6	Provisions for the construction and testing of large packagings – role of Competent Authority	
Chapter 6.7	Provisions for the design, construction, inspection and testing of portable tanks and multiple-element gas containers – role of Competent Authority	
Chapter 6.8	Provisions for road tank vehicles – role of Competent Authority	
Section 7.1.14	Stowage of goods of class 7 – role of Competent Authority	
Chapter 7.9	Exemptions, approvals and certificates – notification to IMO and recognition of approvals and certificates	
IBC Code		
Para 1.5.3	Maintenance of conditions after survey	
Para 1.5.5.1	Issue or endorsement of International Certificate of Fitness by another Government	
BCH Code		
Para 1.6.4.1	Issue or endorsement of certificate by another Government	
IGC Code		
Para 1.5.5.1	Issue or endorsement of certificate by another Government	

Obligations of Contracting Governments/Parties		
Source	Summary description	Comments
STCW Code, Part A		
Section A-I/6.1	Training and assessment	
Section A-I/6.3	Qualifications of instructors, supervisors and assessors	
Section A-I/6.7	Training and assessment within an institution	
Section A-I/7	Communication of information	
Section A-I/8	Quality standards	
Section A-I/12	Standards governing the use of simulators	
Section A.VIII/2.8	Watchkeeping at sea – direct attention of companies, masters, chief engineer officers and watchkeeping personnel to observe principles in Parts 3-1 and 3-2	

ANNEX 2

SPECIFIC FLAG STATE OBLIGATIONS

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

Specific flag State obligations		
Source	Summary description	Comments
TONNAGE 69		
Art. 6	Determination of tonnages	
Art. 7(2)	Issue of certificates	
Annex I, reg. 1(3)	Novel types of craft – determination of tonnage and communication to IMO on method used	
Annex I, reg. 5(3)(b)	Change of net tonnage – Alterations or modifications deemed by the Administration to be of a major character	
Annex I, reg. 7	Measurement and calculation	
LL 66 and LL PROT 88*		
	Existing certificates	LL PROT 88 only (Art.II-2)
Art. 6(3)	Exemptions – reporting	
Art. 8(2)	Equivalents – reporting	
Art. 9(2)	Approvals for experimental purposes – reporting	
Art. 13	Surveys and marking	amended by LL PROT 88
Art. 14	Initial, renewal and annual survey	amended by LL PROT 88
Art. 16(3)	Issue of certificates	
Art. 19	Duration and validity of certificate	amended by LL PROT 88
Art. 23	Casualties	

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

Specific flag State obligations		
Source	Summary description	Comments
Annex I, reg. 1	Strength of hull	
	Strength and intact stability of ships	LL PROT 88 only (Annex I, reg. 1)
Annex I, reg. 2	Application – Assignment of freeboard	amended by LL PROT 88
	Authorization of recognized organizations	LL PROT 88 only (Annex I, reg. 2-1)
Annex I, reg. 8	Details of marking	
Annex I, reg. 10	Stability information – approval	amended by LL PROT 88
Annex I, reg. 12	Doors	amended by LL PROT 88
Annex I, reg. 14	Cargo and other hatchways	amended by LL PROT 88
Annex I, reg. 15	Hatchways closed by portable covers and secured weathertight by tarpaulins and battering devices	amended by LL PROT 88
Annex I, reg. 16(1)	Hatchway coamings – reduced heights	amended by LL PROT 88 (Annex I, reg. 14-1(2))
Annex I, reg. 16(4)	Securing arrangements	amended by LL PROT 88 (Annex I, reg. 16(6))
	Machinery space openings	LL PROT 88 only (Annex I, reg. 17(4))
Annex I, reg. 19	Ventilators	amended by LL PROT 88
Annex I, reg. 20	Air pipes	amended by LL PROT 88
	Cargo ports and other similar openings – applicable national standards	LL PROT 88 only (Annex I, reg. 21(5))
Annex I, reg. 22	Scuppers, inlets and discharges	amended by LL PROT 88
Annex I, reg. 25	Protection of the crew	amended by LL PROT 88
Annex I, reg. 27	Freeboards – Types of ships	amended by LL PROT 88
Annex I, reg. 28	Freeboard tables	amended by LL PROT 88
Annex I, reg. 39	Minimum bow height and reserve buoyancy	amended by LL PROT 88
	Lashing system	LL PROT 88 only (Annex I, reg. 44(6))

Specific flag State obligations		
Source	Summary description	Comments
COLREG 72		
Annex I, paragraph 14	Approval of construction of lights and shapes and the installation of lights on board	
Annex III, paragraph 3	Approval of construction, performance and installation of sound signal appliances on board	
STCW 78		
Art. VI	Certificates	
Art. VIII(3)	Dispensation – reporting	
Art. IX(2)	Equivalents – reporting	
Reg. I/2	Certificates and endorsements	
Reg. I/10	Recognition of certificates	
Reg. I/11(5)	Revalidation of certificates	
Reg. I/14	Responsibilities of companies	
Reg. IV/1.3	Application	
Reg. V/1.4	Mandatory minimum requirements for the training and qualification of masters, officers and ratings on tankers	
Reg. V/2.9	Mandatory minimum requirements for the training and qualification of masters, officers, ratings and other personnel on ro-ro passenger ships	
Reg. V/3.9	Mandatory minimum requirements for the training and qualification of masters, officers, ratings and other personnel on passenger ships other than ro-ro passenger ships	
Reg. VIII/1	Fitness for duty	
Reg. VIII/2	Watchkeeping arrangements and principles to be observed	

Specific flag State obligations		
Source	Summary description	Comments
SOLAS 74		
Reg. I/4(b)	Exemptions – reporting	
Reg. I/5(b)	Equivalents – reporting	
Reg. I/6	Inspection and survey	in SOLAS PROT 78 and SOLAS PROT 88
Reg. I/7	Survey of passenger ships	in SOLAS PROT 88
Reg. I/8	Survey of life-saving appliances and other equipment of cargo ships	in SOLAS PROT 88
Reg. I/9	Survey of radio installations of cargo ships	in SOLAS PROT 88
Reg. I/10	Survey of structure, machinery and equipment of cargo ships	in SOLAS PROT 88
Reg. I/12	Issue of certificates	in SOLAS PROT 88
	Issue and endorsement of certificates	in SOLAS PROT 88
Reg. I/14	Duration and validity of certificates	in SOLAS PROT 88
Reg. I/15	Forms of certificates and records of equipment	in SOLAS PROT 88
Reg. I/18	Qualification of certificates	
Reg. I/21	Casualties	
Reg. II-1/1.2	Compliance with earlier requirements	revised SOLAS chapter II-I adopted by MSC 80
Reg. II-1/3-2.2	Approval of corrosion prevention systems of seawater ballast tanks	
Reg. II-1/3-3.2	Approval of means of access to tanker bows	
Reg. II-1/3-4.22 and 3-4.3	Approval of emergency towing arrangements on tankers	
Reg. II-1/3-6.2.3	Means of access to cargo and other spaces – satisfaction of the Administration as well as survey	
Reg. II-1/3-6.4.1	Approval of Ship Structure Access Manual	
Reg. II-1/9.1	Ballasting of passenger ships	

Specific flag State obligations		
Source	Summary description	Comments
Reg. II-1/12.2 and 12-1.2	Approval of double bottoms	
Reg. II-1/14.1	Construction and initial testing of watertight bulkheads, etc., in passenger ships and cargo ships	
Reg. II-1/17.2 and .9.4	Openings in the shell plating of passenger ships below the margin line	
Reg. II-1/18.1.1	Construction and initial tests of watertight doors, sidescuttles, etc., in passenger ships and cargo ships	
Reg. II-1/19.1	Construction and initial tests of watertight decks, trunks, etc., in passenger ships and cargo ships	
Reg. II-1/25-1.3	Alternative arrangements – information to IMO	
Reg. II-1/26.2	Consideration of reliability of single essential propulsion components	
Reg. II-1/29.1, .2.1 and .6.3	Steering gear	
Reg. II-1/29.17.2	Adoption of regulations on rudder actuators for tankers, chemical tankers and gas carriers	
Reg. II-1/40.2	Electrical installations – ensuring uniformity	
Reg. II-1/42.1.3	Emergency source of electrical power in passenger ships	
Reg. II-1/43.1.3	Emergency source of electrical power in cargo ships	
Reg. II-1/44.2	Approval of automatically starting emergency generating sets	
Reg. II-1/45.3.3, 45.5.3, 45.5.4, 45.9.3, 45.10, and 45.11	Precautions against shock, fire and other hazards of electrical origin	
Reg. II-1/46.2 and .3	Additional requirements for periodically unattended machinery space	
Reg. II-1/53.1	Special requirements for machinery, boiler and electrical installations	

Specific flag State obligations		
Source	Summary description	Comments
Reg. II-2/1.2.1	Approval of fire protection arrangements in existing ships	
Reg. II-2/1.6.2.1.2 and 1.6.6	Application of requirements for tankers	
Reg. II-2/4.2.2.5.1	Approval of material for oil fuel pipes and their valves and fittings	
Reg. II-2/4.3	Approval of gaseous fuel systems used for domestic purposes	
Reg. II-2/4.5.1.4.4	Installation of cargo oil lines where cargo wing tanks are provided	
Reg. II-2/4.5.3.3	Requirements for safety devices in venting systems	
Reg. II-2/4.5.5.2.1	Requirements for inert gas system on chemical tankers	
Reg. II-2/4.5.6.3	Arrangements for inerting, purging or gas-freeing	see reg. II-2/4.5.5.3.1
Reg. II-2/5.2.2.5	Positioning of controls for any required fire-extinguishing system in passenger ships	see reg. II-2/8.3.3 and II-2/9.5.2.3
Reg. II-2/5.2.3.1	Special consideration to maintaining the fire integrity of periodically unattended machinery spaces	
Reg. II-2/7.3.2	Initial and periodical tests	
Reg. II-2/7.6	Protection of cargo spaces in passenger ships	
Reg. II-2/8.3.4	Release of smoke from machinery spaces – passenger ships	
Reg. II-2/9.2.2.1.5.1	Approval of equivalent means of controlling and limiting a fire on ships designed for special purposes	
Reg. II-2/9.2.2.3.1	Fire integrity of bulkheads and decks in ships carrying more than 36 passengers	
Reg. II-2/9.2.2.4.4, 9.2.3.3.4 and 9.2.4.2.4	Fire integrity of bulkheads and decks	see reg. II-2/11.2

Specific flag State obligations		
Source	Summary description	Comments
Reg. II-2/9.3.4	Approval of structural fire protection details, taking into account the risk of heat transmission	
Reg. II-2/9.5.2.4	Protection of openings in machinery space boundaries	
Reg. II-2/10.2.1.2.1.3	Provisions for fixed water fire-extinguishing arrangements for periodically unattended machinery spaces	
Reg. II-2/ 10.2.1.2.2.1	Ready availability of water supply	
Reg. II-2/10.2.3.1.1	Approval of non-perishable material for fire hoses	
Reg. II-2/10.2.3.2.1	Number and diameter of fire hoses	
Reg. II-2/10.3.2.1	Arrangement of fire extinguishers	
Reg. II-2/10.6.1.1	Type approval of automatic sprinkler, fire detection and fire alarm system	
Reg. II-2/10.6.3.2	Approval of fire-extinguishing arrangement for flammable liquid lockers	
Reg. II-2/10.7.1.2	Fixed gas fire-extinguishing systems for general cargo	
Reg. II-2/10.7.1.4	Issue of an Exemption Certificate	
Reg. II-2/13.3.1.4	Provision of means of escape from, or access to, radiotelegraph stations	
Reg. II-2/13.3.2.5.1	Lighting or photoluminescent equipment to be evaluated, tested and applied in accordance with the FSS Code	
Reg. II-2/13.3.2.6.2	Normally locked doors that form part of an escape route – Quick release mechanisms	
Reg. II-2/13.5.1	Means of escape on passenger ships from special category and open ro-ro spaces to which any passengers carried can have access	
Reg. II-2/17.4.1 and 17.6	Evaluation and approval of the engineering analysis for alternative design and arrangements for fire safety	

Specific flag State obligations		
Source	Summary description	Comments
Reg. II-2/17.5	Alternative design and arrangements for fire safety – communication of information to IMO	
Reg. II-2/19.4	Provision of document of compliance	
Reg. II-2/20.4.1	Provision and approval of fixed fire detection and fire alarm systems	
Reg. III/4	Evaluation, testing and approval of life-saving appliances and arrangements	
Reg. III/5	Production tests for life-saving appliances	
Reg. III/20.8.1.2	Approval of servicing stations	
Reg. III/20.8.5	Extension of liferaft service intervals – notification to IMO	
Reg. III/20.11.1 and 20.11.2	Periodic servicing of launching appliances and on-load release gear – thorough examination at the annual surveys	
Reg. III/26.2.4	Approval of liferafts on ro-ro passenger ships	
Reg. III/26.3.1 and 26.3.2	Approval of fast rescue boats and their launching appliances on ro-ro passenger ships	
Reg. III/28	Approval of helicopter landing and pick-up areas on ro-ro passenger ships	
Reg. IV/3.3	Exemptions – reporting to IMO	
Reg. IV/14.1	Type approval of radio equipment	
Reg. IV/15.5	Ensure radio equipment is maintained	
Reg. IV/16.1	Radio personnel	
Reg. IV/17	Radio records	
Reg. V/3.3	Exemptions and equivalents – reporting to IMO	
Reg. V/14	Ships' manning	
Reg. V/16	Maintenance of equipment	
Reg. V/17	Electromagnetic compatibility	

Specific flag State obligations		
Source	Summary description	Comments
Reg. V/18.1	Type approval of navigational systems and equipment and voyage data recorder	
Reg. V/18.5	Requirement for quality control system at manufacturers	
Reg. V/23.3.3.1.3	Pilot transfer arrangements	
Reg. V/23.6.1	Type approval of mechanical pilot hoists	
Reg. VI/3.1 and 3.2	Provision of equipment for oxygen analysis and gas detection and training of crews in their use	
Reg. VI/5.6	Approval of Cargo Securing Manual	
Reg. VI/6	Acceptability for shipment	
Reg. VI/9.2	Grain loading information	
Reg. VII/5	Approval of Cargo Securing Manual	
Reg. VII/15.2	Warships – INF cargo	
Reg. VIII/4	Approval of design, construction and standards of inspection and assembly of reactor installations	
Reg. VIII/6	Ensure radiation safety	
Reg. VIII/7(a)	Approval of safety assessment	
Reg. VIII/8	Approval of operating manual	
Reg. VIII/10(f)	Issue of certificates	
Reg. IX/4.1	Issue of Document of Compliance (DOC)	
Reg. IX/4.3	Issue of Safety Management Certificate (SMC)	
Reg. IX/6.1	Periodical verification of the safety management system	
Reg. XI-1/1	Authorization of recognized organizations	
Reg. XI-1/2	Enhanced surveys	
Reg. XI-1/3.5.4	Approval of method of marking the ship identification number	

Specific flag State obligations		
Source	Summary description	Comments
Reg. XI-1/5.3	Issue of Continuous Synopsis Record (CSR)	
Reg. XI-1/5.4.2	Amendments to CSR	
Reg. XI-1/5.4.3	Authorize and require changes to be made to CSR	
Reg. XI-1/5.8	Former flag State to send CSR to new flag State	
Reg. XI-1/5.9	Append previous CSR to new CSR	
Reg. XII/8.1	Endorsement of booklet required by reg. VI/7.2	
Reg. XII/9.2	Approval of bilge well high water level alarms	
Reg. XII/11.3	Loading instrument – approval of software for stability calculations	
MARPOL		
Art. 4(1) and (3)	Violation	
Art. 6(4)	Detection of violations and enforcement of the Convention – investigations	
Art. 12(1)	Casualties to ships – investigations	
Annex I		
Reg. 2.6.2	Application – an oil tanker delivered on or before 1 June 1982 engaged in specific trades: agreement with port States	
Reg. 3.3	Exemptions and waivers – reporting	
Reg. 4.3	Exceptions – discharge of substances containing oil for the purpose of combating pollution incidents	
Reg. 5.2	Equivalents – reporting	
Reg. 6	Surveys	
Reg. 7	Issue or endorsement of certificate	
Reg. 10.9.3	Transfer of flag	

Specific flag State obligations		
Source	Summary description	Comments
Reg. 12A.12	Oil fuel tank protection – approval of the design and construction of ships	
Reg. 14.3	Oil filtering equipment – volume of oil bilge holding tank	
Reg. 14.4	Oil filtering equipment – ships of less than 400 gross tonnage	
Reg. 14.6 and 14.7	Oil filtering equipment – approval	
Reg. 15.6.2	Control of discharge of oil – ships of less than 400 gross tonnage: design approval	
Reg. 18.8.2, 18.8.3 and 18.8.4	Requirements for product carriers of 40,000 tonnes deadweight and above – arrangement and operation, approval of oil content meter, clean ballast tank operational manual	
Reg. 18.10.1.1	Segregated ballast tanks – oil tanker delivered on or before 1 June 1982 having special ballast arrangements: approval	
Reg. 18.10.1.2	Segregated ballast tanks – oil tanker delivered on or before 1 June 1982 having special ballast arrangements: agreement with port States	
Reg. 18.10.3	Segregated ballast tanks – oil tanker delivered on or before 1 June 1982 having special ballast arrangements: communication to IMO	
Reg. 20.8.1	Double hull and double bottom requirements for oil tankers delivered before 6 July 1996 – communication to IMO	
Reg. 21.8.1	Prevention of oil pollution from oil tankers carrying heavy grade oil as cargo – communication to IMO	
Reg. 23.3.1	Accidental oil outflow performance – Calculation of mean oil outflow parameter	
Reg. 25.5	Hypothetical outflow of oil – information to IMO on accepted arrangements	
Reg. 27.3	Intact stability – approval of written procedures for liquid transfer operation	

Specific flag State obligations		
Source	Summary description	Comments
Reg. 28.3.4	Subdivision and damage stability – sufficient stability during flooding	
Reg. 29.2.1	Slop tanks – approval	
Reg. 30.6.5.2	Pumping, piping and discharge arrangement – establishment of requirements	
Reg. 30.7	Pumping, piping and discharge arrangement – positive means of loading, transporting or discharging cargo	
Reg. 31.2 and 31.4	Oil discharge monitoring and control system – approval	
Reg. 32	Oil/water interface detector – approval	
Reg. 33.1	Crude oil washing requirement – compliance with requirement	
Reg. 33.2	Crude oil washing requirements – establishment of requirements	
Reg. 35.1	Crude oil washing operations – Operations and Equipment Manual	
Reg. 36.9	Oil Record Book, Part II – development of oil record book for ships of less than 150 gross tonnage	
Reg. 37.1	Shipboard oil pollution emergency plan – approval	
Reg. 38.7.2	Reception facilities within special areas: Antarctic area – sufficient capacity	
Reg. 38.8	Reception facilities – Notification on alleged inadequacies of port reception facilities	
Reg. 39.2.2	Special requirements for fixed or floating platforms – approval of record form	
Annex II		
Reg. 3.1.3	Exceptions – approval of discharge of NLS for the purpose of combating pollution incidents	
Reg. 4.1.2	Exemptions – communication to IMO on relaxations	

Specific flag State obligations		
Source	Summary description	Comments
Reg. 4.3.4	Exemptions – communication to IMO	
Reg. 4.4.5	Exemptions – communication to IMO	
Reg. 5.1	Equivalents – substitution of operational method	
Reg. 5.2	Equivalents – communication to IMO on alternatives	
Reg. 5.3.4 and 5.3.5	Equivalents – pumping and piping arrangement, approval of manual	
Reg. 6.3	Establishment of Tripartite Agreements – Notification to IMO	
Reg. 8	Surveys	
Reg. 9	Issue or endorsement of certificates	
Reg. 10.7	Expiry date of existing certificate	
Reg. 10.9.3	Transfer of flag	
Reg. 11.2	Design, construction, equipment and operations – establishment of appropriate measures	
Reg. 12.5	Pumping, piping, unloading arrangements and slop tanks – approval of pumping performance test	
Reg. 13.3	Control of discharges of residues of NLS – approval of ventilation procedure	
Reg. 13.5	Control of discharges of residues of NLS – approval of tank washing procedure	
Reg. 14.1	Procedures and arrangements manual – approval	
Reg. 17.1	Shipboard marine pollution emergency plan for NLS – approval	
Reg. 18.5	Notification on alleged inadequacies of port reception facilities	

Specific flag State obligations		
Source	Summary description	Comments
Annex IV		
Reg. 4	Surveys	
Reg. 5	Issue or endorsement of certificates	
Reg. 8(8)(2)	Transfer of flag	
Reg. 9	Approval of sewage systems	
Reg. 12(2)	Notification on alleged inadequacies of port reception facilities	
Annex V		
Reg. 5(5)(b)	Disposal of garbage within special areas – Antarctic area	
Reg. 7(2)	Notification on alleged inadequacies of port reception facilities	
Annex VI		
Reg. 4(2)	Equivalents – communication to IMO	
Reg. 5	Surveys	
Reg. 6	Issue or endorsement of Certificate	
Reg. 9(9)(c)	Transfer of flag	
Reg. 11	Detection of violations and enforcement – investigations	
Reg. 13(1)(b)(ii)	Nitrogen oxides – alternative control measures	
Reg. 13(2)(b)	Nitrogen oxides – approval of documentation	
Reg. 13(3)(b)	Nitrogen oxides – approvals of exhaust gas cleaning systems or equivalent methods	
Reg. 14(4)(b) and (c)	Sulphur oxides – approvals of exhaust gas cleaning systems or alternatives	
Reg. 14(6)	Sulphur oxides – prescription of log-book	
Reg. 15(5)	Volatile organic compounds – approval of vapour collection systems	

Specific flag State obligations		
Source	Summary description	Comments
Reg. 16(2)(a)	Shipboard incineration – approvals	
Reg. 17(2)	Notification on alleged inadequacies of port reception facilities	
Res. MSC.133(76), as amended	Technical provisions for means of access for inspections	
Para 3.7	Vertical or spiral ladders – acceptance	
Para 3.9.7	Other means of access – approval and acceptance	
Res. A.739(18)	Guidelines for the authorization of RO	
Para 2	Assignment of authority	
Para 3	Verification and monitoring	
ISM Code		
Para 13.2	Issue of DOC	
Para 13.4	Annual verification (DOC)	
Para 13.5	Withdrawal of DOC	
Para 13.7	Issue of SMC	
Para 13.8	Intermediate verification (SMC)	
Para 13.9	Withdrawal of SMC	
Para 14.1	Issue of Interim DOC	
Para 14.2	Issue of Interim SMC	
Para 14.4	Verification required for issuance of an Interim SMC	
Para 15.1	Verification – acceptance of procedures	
Para 16	Forms of certificates	

Specific flag State obligations		
Source	Summary description	Comments
INF Code		
Para 1.3.2	Issue of certificate	
Para 2.1	Damage stability (INF.1 ship)	
Para 3.1	Fire safety measures (INF.1 cargo)	
Para 4.1.3	Temperature control of cargo spaces (INF.1, 2 and 3 ship)	
Para 6.2	Safe stowage and securing – approval of principles	
Para 7.1	Electrical power supplies (INF.1 ship)	
Chapter 8	Radiological protection	
Chapter 9	Management and training	
Para 10.2	Shipboard emergency plan – approval	
FSS Code		
Para 1/4	Use of toxic extinguishing media	
Para 4/2	Type approval of fire extinguishers	
Para 4/3.1.1.2	Determine equivalents of fire extinguishers	
Para 5/2.1.1.4	Containers for the storage of fire-extinguishing medium, etc.	
Para 5/2.1.2.3	Spare parts	
Para 5/2.3	Steam systems	
Para 5/2.5	Equivalent systems – approval	
Para 6/2.2.1.1 and 6/2.3.1.1	Foam concentrates – approval	
Para 7/2.1.1.1	Type approval of spraying nozzles	
Para 7/2.1.1.2	Number and arrangement of nozzles	
Para 7/2.2	Equivalent systems – approval	

Specific flag State obligations		
Source	Summary description	Comments
Para 8/2.1.2	Equivalent sprinkler systems – approval	
Para 9/2.3.1.3	Heat detectors temperature limits	
Para 9/2.4.1.3	Limiting the number of enclosed spaces included in each section	
Para 10/2.1.2	Sequential scanning – overall response time	
Para 10/2.2.2	Extractor fans – overall response time	
Para 10/2.3.1.1	Means to isolate smoke accumulators	
Para 11/2.1	Low-location lighting – approval	
Para 14/2.2.1.2	Medium expansion ratio foam – application rate, etc.	
Para 15/2.1.2	Inert gas systems – approval	
Para 15/2.2.4.6	Adequate reserve of water	
FTP Code		
Para 4.2.1	Recognition of testing laboratories	
Para 5.1.1	Approval procedures	
Para 5.2.2	Requirement of manufactures' quality control system audit	
Para 7.2	Use of equivalents and modern technology – information to IMO	
LSA Code		
Para 1.2.3	Determine the period of acceptability of LSAs subject to deterioration with age	
Para 4.4.1.2	Endorsement of lifeboat certificate of approval	
Para 4.5.4	Fixed two-way VHF radiotelephone apparatus – sheltered space	
Para 5.1.1.4	Rescue boats – combination of rigid and inflatable construction	
Para 5.1.3.8	Rubbing strips on inflated rescue boats	

Specific flag State obligations		
Source	Summary description	Comments
Paras 6.1.2.9 and 6.1.2.10	Lowering speed of a fully equipped liferaft	
Para 6.2.1.2	MES – strength and construction of passage and platform	
Para 7.2.2.1	Broadcast of messages from other places on board	
1994 HSC Code		
Para 1.3.5	Verification	
Para 1.4.29	Determination of “maximum operational weight”	
Para 1.5.1.2	Specifying intervals for renewal surveys	
Para 1.5.4	Inspection and survey	
Para 1.5.5	Recognized organizations and nominated surveyors	
Para 1.5.7	Completeness of survey and inspection	
Para 1.8.1	Issue/endorsement of certificate	
Para 1.9.2	Issue of permit to operate	
Para 1.11.2	Equivalents – reporting	
Para 1.12.1	Adequate information and guidance provided to the craft by the company	
Paras 1.13.2 and 1.13.3	Novel designs	
Para 1.14.1	Investigation reports to IMO	
Paras 2.7.4 and 2.14.2	Inclining and stability information – approval	
Para 3.4	Determination of service life	
Para 3.5	Design criteria	
Para 4.8.3	Documentation and verification of evacuation time	
Para 7.5.6.3	Safe outlets for exhaust fans in fuel tank spaces	

Specific flag State obligations		
Source	Summary description	Comments
Para 7.7.2.3.2	Sensitivity limits of smoke detectors	
Para 7.7.6.1.5	Additional quantity of fire-extinguishing medium	
Para 7.7.6.1.12	Containers for the storage of fire-extinguishing medium, etc. – design	
Para 7.7.8.5	Maximum length of fire hoses	
Para 8.1	Approval and acceptance of LSA and arrangements	
Para 8.9.7.1.2	Approval of servicing stations	
Para 10.2.4.9	Flexible oil fuel pipes	
Para 10.3.7	Internal diameters of suction branches	
Para 12.6.2	Specified voltages to earth	
Para 13.1.2	Navigational equipment and its installation	
Para 13.13	Approval of systems, equipment and performance standards	
Para 14.3.3	Exemptions – reporting	
Para 14.13.1	Type approval	
Para 14.14.5	Ensuring maintenance	
Para 14.15	Radio personnel	
Para 14.16	Radio records	
Para 15.3.1	Operating station – field of vision	
Para 15.7.2	Ensuring clear view through windows	
Para 17.8	Acceleration and deceleration	
Para 18.1.4	Determining maximum allowable distance from a base port or place of refuge	
Para 18.2	Craft documentation	
Paras 18.3.1 to 18.3.7	Training and qualifications	
Chapter 19	Inspection and maintenance requirements	

Specific flag State obligations		
Source	Summary description	Comments
2000 HSC Code		
Para 1.3.7	Verification	
Para 1.4.36	Determination of “maximum operational weight”	
Para 1.5.1.2	Specifying intervals for renewal surveys	
Para 1.5.4	Inspection and survey	
Para 1.5.5	Recognized organizations and nominated surveyors	
Para 1.5.7	Completeness of survey and inspection	
Para 1.7.3	Investigation to determine the need of survey	
Para 1.8.1	Issue/endorsement of certificate	
Para 1.9.2	Issue of permit to operate	
Para 1.11.2	Equivalents – reporting	
Para 1.12.1	Adequate information and guidance provided to the craft by the company	
Paras 1.13.2 and 1.13.3	Novel designs	
Para 1.14.1	Investigation reports to IMO	
Para 2.9.3	Verification of load line marks	
Paras 2.7.4 and 2.14.2	Inclining and stability information – approval	
Para 3.4	Determination of service life	
Para 3.5	Design criteria	
Para 4.2.2	Approval of public address system	
Para 4.8.3	Documentation and verification of evacuation time	
Para 7.3.2	Approval of structural fire protection details	
Para 7.5.6.3	Safe outlets for exhaust fans in fuel tank spaces	

Specific flag State obligations		
Source	Summary description	Comments
Para 7.7.1.1.8	Limitation of number of enclosed spaces in each section	
Para 7.7.1.3.2	Sensitivity limits of smoke detectors	
Para 7.7.3.2.6	Additional quantity of fire-extinguishing medium	
Para 7.7.5.5	Maximum length of fire hoses	
Para 7.17.1	Reduced requirements for cargo craft of less than 500 GT	
Para 7.17.3.3	Smoke detection systems – equivalent protection	
Para 7.17.4	Issue of Document of Compliance for craft carrying dangerous goods	
Para 8.1	Approval and acceptance of LSA and arrangements	
Para 8.9.7.1.2	Approval of servicing stations	
Para 8.9.8	Rotational deployment of marine evacuation systems	
Para 8.9.11	Extension of liferaft service intervals – notification	
Para 8.11	Helicopter pick-up areas – approval	
Para 10.2.4.9	Flexible oil fuel pipes	
Para 10.3.7	Internal diameters of suction branches	
Para 12.6.2	Specified voltages to earth	
Para 13.1.2	Ship borne navigational system and equipment and voyage data recorder and their installation	
Para 13.17	Type approval	
Para 14.3.3	Exemptions – reporting	
Para 14.4.2	GMDSS Identities – suitable arrangements	
Para 14.14.1	Type approval	
Para 14.15.5	Ensuring maintenance	

Specific flag State obligations		
Source	Summary description	Comments
Para 14.16	Radio personnel	
Para 14.17	Radio records	
Para 15.3.1	Operating station – field of vision	
Para 15.7.2	Ensuring clear view through windows	
Para 17.8	Acceleration and deceleration	
Para 18.1.4	Determining maximum allowable distance from a base port or place of refuge	
Para 18.2	Craft documentation	
Paras 18.3.1 to 18.3.7	Training and qualifications	
Chapter 19	Inspection and maintenance requirements	
Res. A.744(18), as amended	Guidelines on the enhanced programme of inspections during surveys of bulk carriers and oil tankers	
Annex A – Bulk carriers		
Para 1.3.1	Repair of damage affecting the ship's structural, watertight or weathertight integrity	
Para 1.3.2	Corrosion or structural defects impairing the ship's fitness	
Para 3.3.4	Repairs of cargo hatch securing system	
Para 5.1.1	Survey programme	
Para 5.1.4	Maximum acceptable structural corrosion diminution levels	
Para 5.2.1.1	Provisions for proper and safe access	
Para 6.2.2	Survey report file	
Para 8.1.2	Evaluation of survey report	
Para 8.2.3	Condition evaluation report	
Annex 4B, para 1	Survey planning questionnaire	

Specific flag State obligations		
Source	Summary description	Comments
Annex 5, para 3.1	Certification of thickness measurement	
Annex 9, para 2.3	Technical assessment in conjunction with the planning of enhanced surveys for bulk carriers	
Annex 13, para 3	Cargo hatch cover securing arrangements	
Annex B – Oil tankers		
Part A – Double hull oil tankers		
Para 1.3.1	Repair of damage affecting the ship's structural, watertight or weathertight integrity	
Para 1.3.2	Corrosion or structural defects impairing the ship's fitness	
Para 2.4.3.2	Approval of corrosion prevention system	
Para 5.1.1	Survey programme	
Para 5.1.4	Maximum acceptable structural corrosion diminution levels	
Para 5.2.1.1	Provisions for proper and safe access	
Para 6.2.2	Survey report file	
Para 8.1.3	Evaluation of survey report	
Para 8.2.3	Condition evaluation report	
Annex 6B	Survey planning questionnaire	
Annex 7, para 3.1	Certification of thickness measurement	
Annex 9	Diminution limits of structural members	
Annex 11, para 2.3	Technical assessment in conjunction with the planning of enhanced surveys for oil tankers	
Annex 12	Criteria for longitudinal strength of hull girder for oil tankers	

Specific flag State obligations		
Source	Summary description	Comments
Part B – Oil tankers other than double hull oil tankers		
Para 1.3.1	Repair of damage affecting the ship's structural, watertight or weathertight integrity	
Para 1.3.2	Corrosion or structural defects impairing the ship's fitness	
Para 2.4.3.2	Approval of corrosion prevention system	
Para 5.1.1	Survey programme	
Para 5.1.4	Maximum acceptable structural corrosion diminution levels	
Para 5.2.1.1	Provisions for proper and safe access	
Para 6.2.2	Survey report file	
Para 8.1.3	Evaluation of survey report	
Para 8.2.3	Condition evaluation report	
Annex 6B	Survey planning questionnaire	
Annex 7, para 3.1	Certification of thickness measurement	
Annex 9	Diminution limits of structural members	
Annex 11, para 2.3	Technical assessment in conjunction with the planning of enhanced surveys for oil tankers	
Annex 12	Criteria for longitudinal strength of hull girder for oil tankers	
Res.4 of the 1997 SOLAS Conference		
Section 5	Dimension and selection of weld connections and materials	
Res. MSC.168(79)	Standards and criteria for side structures of bulk carriers of single-side skin construction	
Para 2.1	Applicable national standards	

Specific flag State obligations		
Source	Summary description	Comments
Para 4.4	Applicable national standards	
Para 4.5	Applicable national standards	
NO_x Technical Code		
Para 1.2.2	Full responsibility	
Chapter 2	Survey and certification	
Para 4.3.5	Review selection of parent engine	
Para 4.3.7	Adequate arrangements to ensure effective control of conformity of production	
Para 4.3.9.1	Agree and approve method of selection of parent engine	
Para 4.3.10	Certification of an engine family	
Paras 4.4.3 and 4.4.4	Engine group concept – approval	
Para 5.1.7	Auxiliary loss exceeding 5% – approval	
Para 5.3.2	Test fuels	
Para 5.4.2	Other systems or analysers – approval	
Para 5.10.1	File a certified true copy of test report	
Para 5.12.3.3	Other corrective formulae – approval	
Para 6.2.2.2	Adjustments on settings	
Para 6.2.3.2	Approval of documentation on board	
Para 6.2.3.4.2	Engine technical file – approval	
Para 6.3.1.3	Measurement of torque	
Para 6.3.4.2	Test fuels – approval	
Para 6.3.9	Test cycles – approval	

Specific flag State obligations		
Source	Summary description	Comments
IBC Code		
Para 1.1.6	Prescribe preliminary suitable conditions for carriage of products not listed in chapter 17 or 18	
Para 1.4.2	Equivalents – communication to IMO	
Section 1.5	Survey and certification	
Para 2.2.2	Intact stability in all seagoing conditions	
Para 2.2.3	Free surface effect in undamaged compartments	
Para 2.4	Conditions of loading	
Para 2.8.1.6	Standard of damage	
Para 2.8.2	Standard of damage – alternative measures	
Para 2.9.2.3	Residual stability during intermediate stages of flooding	
Para 3.4.4	Access to spaces in the cargo area	
Para 3.7.3.5	Alternative arrangements for draining the piping	
Para 3.7.4	Relaxation for small ships	
Para 5.1.6.4	Dimensions for flanges not complying with the standards	
Para 5.2.2	Piping fabrication and joining details	
Para 7.1.1	Cargo temperature control - general	
Para 8.3.6	Devices to prevent the passage of flames into cargo tanks – requirements for the design, testing and locating	
Para 10.1.3	Electrical installations – appropriate steps for uniform implementation	
Para 10.1.4	Electric equipment, cables and wiring which do not conform to the standard	
Para 10.1.5	Electrical equipment in hazardous locations	

Specific flag State obligations		
Source	Summary description	Comments
Para 11.2.2	Approval of an appropriate fire-extinguishing systems	
Para 11.3.2	Cargo area – additional arrangements	
Para 11.3.5.3	Cargo area – minimum capacity of monitor	
Para 11.3.7	Minimum capacity of foam monitor for ships less than 4,000 tonnes deadweight	
Para 11.3.13	Alternative provisions to deck foam system	
Para 13.2.3	Exemption of toxic vapour detection equipment	
Para 14.1.2	Protective equipment	
Chapter 15	Approval of special requirements for specific chemicals	
Para 16.2.2	Cargo information – independent expert	
Para 16.5.1	Stowage of cargo samples – approval	
BCH Code		amended by Res. MEPC.144(54) (in force 1.8.07)
Para 1.5.2	Equivalents – communication to IMO	
Section 1.6	Survey requirements	
Section 1.8	New products – establishing suitable conditions – notification to IMO	
Para 2.2.4	Determination of the ability to survive flooding of the machinery space in Type 3 below 125m in length	
Para 2.2.5	Nature of alternative measures prescribed for small ships – duly noted on certificate	
Para 2.9.5	Access to void spaces, cargo tanks, etc. – approval of smaller dimensions in special circumstances	
Section 2.10	Cargo piping systems – setting standards	
Section 2.12	Cargo hoses – setting standards	

Specific flag State obligations		
Source	Summary description	Comments
Para 2.14.2	High-velocity vent valves – type approval	deleted after 1.8.07 by Res. MEPC.144(54)
Para 2.15.1	Cargo heating and cooling systems	
Section 2.17	Structural materials for tank construction, etc.	
Para 3.1.2(f)	Ventilation fans – approval	
Para 3.14.1	Alternative provisions for ships dedicated to the carriage of specific cargoes	
Para 3.14.2	Additional arrangements when foam is not effective or is incompatible	
Para 3.14.7	Foam monitors on ships of less than 4,000 tonnes deadweight – minimum capacity	
Para 3.15.2	Protection of cargo pump-rooms with fire-extinguishing systems – approval	
Para 3.15.5	Products evolving flammable vapours – fire-extinguishing systems – approval	
Chapter IV	Approval of special requirements for specific chemicals	
Para 5A.3.1	Procedures and Arrangements Manual – approval	amended by Res. MEPC.144(54) (in force 1.8.07)
		deleted after 1.8.07 by Res. MEPC.144(54)
IGC Code		
Para 1.1.6	Establishment of preliminary suitable conditions of carriage and notification	
Para 1.4.2	Equivalents – reporting	
Section 1.5	Surveys and certification	
Para 2.2.2	Stability standard – acceptance	
Para 2.2.3	Method to calculate free surface effect – acceptance	
Para 2.3.3	Automatic non-return valves – acceptance	
Para 2.4	Damage survival capability investigation	
Para 2.8.2	Alternative measures – approval	

Specific flag State obligations		
Source	Summary description	Comments
Para 2.9.1.3	Residual stability during intermediate stages of flooding	
Para 3.5.3.2	Decreased clear opening in the cargo area	
Section 3.8	Bow or stern loading and unloading arrangements – approval	
Para 4.2.7	Design temperature	
Paras 4.4.2.5 and 4.4.4.1	Structural analysis of the hull	
Paras 4.4.6.1.1, 4.4.6.2.1 and 4.4.6.3.2	Setting standards	
Para 4.4.7.2.1	Three-dimensional structural analysis	
Para 4.4.7.3	Analysis	
Para 4.5.1.11	Allowable stresses – approval	
Para 4.7.3	Secondary barriers for non-basic tank types	
Para 4.7.7	Checking method – approval	
Para 4.8.4.4	Design and construction of the heating system	
Para 4.9.8	Insulation materials	
Para 4.10.1.2.2	Bevel preparation, etc. – acceptance and approval	
Para 4.10.2	Workmanship	
Para 4.10.5.2	Quality control specifications	
Para 4.10.6	Integral tank-testing	
Para 4.10.8.3	Tightness test	
Para 4.10.9	Type C independent tanks – inspection and NDT	
Para 4.10.10.3.7	Consideration of pneumatic testing	
Para 4.11.1	Soaking temperature and holding times	
Para 4.11.2	Alternative to heat treatment – approval	

Specific flag State obligations		
Source	Summary description	Comments
Paras 5.2.4.4 and 5.2.4.5	Flanges, valves and other fittings	
Para 5.4.2.2	Dimensions	
Para 5.4.2.3	Screwed couplings – acceptance	
Para 5.5.2	Cargo and process piping – alternative testing approval	
Para 6.1.5	Tensile strength, yield stress and elongation	
Para 6.3.7.4	Schedule for inspection and NDT	
Section 7.1	Cargo pressure/temperature control	
Paras 8.2.2, 8.2.5 and 8.2.7	Pressure relief devices	
Para 9.5.2	A means of preventing the backflow of cargo	
Para 10.1.5	Electrical equipment installation	
Para 11.4.1	Dry chemical powder fire-extinguishing system	
Para 11.5.2	Approval of appropriate fire-extinguishing system for cargo compressor and pump-rooms	
Para 13.5.4	Number and position of temperature indicating devices	
Para 13.6.1	Gas detector equipment	
Para 13.6.13	Portable gas detection equipment	
Para 14.4.5	Provision of space to protect personnel	
Section 15.2	Maximum allowable loading limits – approval of list	
Para 16.5.2	Forced draught system for boilers	
Para 16.5.6	Purging of combustion chambers of boilers	
Para 17.14.2.1	Non-acceptance of cargo discharge compressors on board	
Para 17.20.3.1	Valves, flanges, fittings and accessory equipment material – acceptance	

Specific flag State obligations		
Source	Summary description	Comments
Para 17.20.13.2	Cargo handling plans – approval	
Para 17.20.14	Maximum allowable tank filling limits – approval of list	
STCW Code, Part A		
Section A-I/10.2	Withdrawal of endorsement – information	
Section A-III/4.4	No tables of competence – determine requirements	
Section A-VIII/1.5	Watch schedules to be posted	
Section A-VIII/2.84	Principles to be observed in keeping radio watch – direct attention of companies masters, radio watchkeeping personnel to comply with provisions in Part 3-3 to ensure that and adequate safety radio watch is maintained when the ship is at sea	
Res. MEPC.94(46), as amended	Condition assessment scheme	
Para 4.1	Issue instructions to the recognized organization (RO) for Condition Assessment Scheme (CAS) survey	
Para 4.3	Require oil tankers to remain out of service until Statement of Compliance is issued	
Para 7.1.3	CAS surveyors' requirements	
Para 11	Verification of CAS	
Para 12	Reassessment of ships that have failed	
Para 13	Issue, suspension or withdrawal of Statement of Compliance	amended by Res. MEPC.155(55) (in force 1.3.08)
Para 14	Communication to IMO	

ANNEX 3

SPECIFIC COASTAL STATE OBLIGATIONS

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

Specific coastal State obligations		
Source	Summary description	Comments
SOLAS 74		
Reg. V/4	Navigation warnings	
Reg. V/7.1	Search and rescue services – necessary arrangements	
Reg. V/7.2	Search and rescue services – information to IMO	
Reg. V/8	Life-saving signals	
Reg. V/9	Hydrographic services	
Reg. VII/6.1 and 7-4.1	Reporting of incidents involving dangerous goods	
MARPOL		
Annex I		
Reg. 4.3	Exceptions – discharge of substances containing oil for the purpose of combating pollution incidents	
Annex II		
Reg. 3.1.3	Exceptions – approval of discharge of NLS for the purpose of combating pollution incidents	
Reg. 13.2.3	Control of discharges of residues of NLS – agreement and communication to IMO	

ANNEX 4

SPECIFIC PORT STATE OBLIGATIONS

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

Specific port State obligations		
Source	Summary description	Comments
TONNAGE 69		
Art. 12	Inspection	
LL 66 and LL PROT 88		
Art. 21	Control	amended by LL PROT 88
STCW 78		
Art. X	Control	
Reg. I/4	Control procedures	
SOLAS 74		
Reg. I/6(c)	Ships not allowed to sail	
Reg. I/19	Control	
Reg. VII/7-2.2	Documents relating to carriage of dangerous goods in solid form	
Reg. VIII/11	Special control for nuclear ships	
Reg. XI-1/4	Port State control on operational requirements	
MARPOL		
Art. 5(2)	Certificates and special rules on inspection of ships – port State control	
Art. 5(3)	Certificates and special rules on inspection of ships – denial of entry	
Art. 6(2)	Detection of violations and enforcement of the Convention – inspection	

Specific port State obligations		
Source	Summary description	Comments
Art. 6(5)	Detection of violations and enforcement of the Convention – inspection upon request – reporting	
Annex I		
Reg. 2.6.2	Application – an oil tanker delivered on or before 1 June 1982 engaged in specific trades: agreement with flag States	
Reg. 2.6.3	Application – an oil tanker delivered on or before 1 June 1982, engaged in specific trades: approval by port States	
Reg. 11	Port State control on operational requirements	
Reg. 17.7	Oil Record Book, Part I – inspection without undue delay	
Reg. 18.10.1.2	Segregated ballast tanks - oil tanker delivered on or before 1 June 1982 having special ballast arrangements : agreement with flag States	
Reg. 20.8.2	Denial of entry – communication to IMO	
Reg. 21.8.2	Denial of entry – communication to IMO	
Reg. 36.8	Oil Record Book, Part II – inspection without undue delay	
Reg. 38.1, 38.2 and 38.3	Reception facilities outside special areas	
Reg. 38.4 and 38.5	Reception facilities within special areas	
Reg. 38.6	Reception facilities within special areas – notification to IMO	
Reg. 38.7.1	Reception facilities within special areas: “Antarctic area”	
Annex II		
Reg. 4.3.3	Exemptions – approval of adequacy of reception facilities	
Reg. 13.6.1	Control of discharges of residues – endorsement of cargo record book	
Reg. 15.6	Cargo record book – inspection without undue delay	

Specific port State obligations		
Source	Summary description	Comments
Reg. 16.1	Measures of control	in force 1.8.07 by resolution MEPC.143(54)
Reg. 16.6 and 16.7	Measures of control – exemption granted (endorsement of cargo record book)	
Reg. 16.9	Port State control on operational requirement	
Reg. 18.1 and 18.2	Reception facilities and cargo unloading terminal arrangements	
Reg. 18.4	Cargo unloading terminal arrangements	
Annex III		
Reg. 8	Port State control on operational requirements	
Annex IV		
Reg. 12(1)	Provision of reception facilities	
Reg. 13	Port State control on operational requirements	
Annex V		
Reg. 5(4)	Reception facilities within special areas	
Reg. 5(5)(a)	Provision of reception facilities – Antarctic area	
Reg. 7(1)	Reception facilities	
Reg. 8	Port State control on operational requirements	
Reg. 9(5)	Inspection of Garbage Record Book	
Annex VI		
Reg. 10	Port State control on operational requirements	
Reg. 14(4)(b)	Discharge criteria – Communication to IMO	
Reg. 15(2) and (3)	Volatile organic compounds – approvals and notification to IMO	
Reg. 17(1)	Reception facilities	
Reg. 18(5)	Fuel oil quality – inspection of bunker delivery notes	
Reg. 18(8)	Fuel oil quality – information and remedial action	

Specific port State obligations		
Source	Summary description	Comments
IBC Code		
Para 15.8.25.3	Certification verifying that the required piping separation	
1994 HSC Code		
Para 1.3.5	Acceptance of the Code	
Para 1.5.6	Provide assistance for surveyors	
Para 1.6	Design approval	
Para 1.9.3	Operational conditions – Permit to Operate	
Para 1.9.4	Port State control	
Para 18.3.8	Training and qualifications	
2000 HSC Code		
Para 1.3.7	Acceptance of the Code	
Para 1.5.6	Provide assistance for surveyors	
Para 1.6	Design approval	
Para 1.9.3	Operational conditions – Permit to Operate	
Para 1.9.4	Port State control	
Para 18.3.8	Training and qualifications	
Grain Code		
Para 3.4	Document of authorization	
Para 3.5	Document of authorization	
Para 5	Exemptions for certain voyages	
Para 7.2	Stability requirements	

ANNEX 5

INSTRUMENTS MADE MANDATORY UNDER IMO CONVENTIONS

SOLAS 74	Res. MSC.133(76), as amended	reg. II-1/3-6.2.1
	FSS Code	reg. II-2/3.22
	FTP Code	reg. II-2/3.23
	LSA Code	reg. III/3.10
	CSS Code, sub-chapter 1.9	reg. VI/2.1
	Grain Code	reg. VI/8.1
	IMDG Code	reg. VII/1.1
	IBC Code	reg. VII/8.1
	IGC Code	reg. VII/11.1
	INF Code	reg. VII/14.1
	ISM Code	reg. IX/1.1
	1994 HSC Code	reg. X/1.1
	2000 HSC Code	reg. X/1.2
	Res. A.739(18)	reg. XI-1/1
	Res. A.789(19)	reg. XI-1/1
	Res. A.744(18), as amended	reg. XI-1/2
	Res. 4 of the 1997 SOLAS Conf.	reg. XII/1.5 (reg. XII/1.7 as of 1.7.06)
	Res. MSC.169(79)	reg. XII/7.2
	Res. MSC.168(79)	reg. XII/14
MARPOL 73/78	Res. MEPC.94(46), as amended	Annex I, reg. 20.6
	IBC Code	Annex II, reg. 1.4
	BCH Code	Annex II, reg. 1.4
	NO _x Technical Code	Annex VI, reg. 2(5)
STCW 78	STCW Code, Part A	reg. I/1.2.3

ANNEX 6

SUMMARY OF AMENDMENTS TO MANDATORY INSTRUMENTS REFLECTED IN THE CODE

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

SOLAS 1974	up to and including the 2005 amendments (Res. MSC.194(80))
Res. MSC.133(76), as amended	up to and including the 2004 amendments (Res. MSC.158(78))
FSS Code	Res. MSC.98(73)
FTP Code	up to and including the 2004 amendments (Res. MSC.173(79))
LSA Code	Res. MSC.48(66)
CSS Code, sub-chapter 1.9	up to and including the 2002 amendments (MSC/Circ.1026)
GRAIN Code	up to and including the 1991 amendments (Res. MSC.23(59))
IMDG Code	up to and including the 2006 amendments (Res. MSC.205(81))
IBC Code	up to and including the 2004 amendments (Res. MSC.176(79) and MEPC.119(52))
IGC Code	up to and including the 2004 amendments (Res. MSC.177(79))
INF Code	up to and including the 2004 amendments (Res. MSC.178(79))
ISM Code	up to and including the 2004 amendments (Res. MSC.179(79))
1994 HSC Code	up to and including the 2004 amendments (Res. MSC.174(79))
2000 HSC Code	up to and including the 2004 amendments (Res. MSC.175(79))
Res. A.739(18)	
Res. A.789(19)	no amendments yet adopted
Res. A.744(18), amended	up to and including the 2005 amendments (Res. MSC.197(80))
Res. 4 of the 1997 SOLAS Conf.	no amendments yet adopted
Res. MSC.169(79)	no amendments yet adopted
Res. MSC.168(79)	no amendments yet adopted

SOLAS PROT 1978	up to and including the 1988 amendments (Resolution of the 1988 GMDSS-P Conference)
SOLAS PROT 1988	up to and including the 2004 amendments (Res. MSC.171(79))
MARPOL	up to and including the 2006 amendments (Res. MEPC.154(55))
Res. MEPC.94(46), as amended	up to and including the 2006 amendments (Res. MEPC.155(55))
IBC Code	up to and including the 2004 amendments (Res. MEPC.119(52) and MSC.176(79))
BCH Code	up to and including the 2006 amendments (Res. MEPC.144(54) and MSC.212(81))
NO _x Code	up to and including the 2005 amendments (Res. MEPC.132(53))
STCW 1978	up to and including the 1997 amendments (Res. MSC.66(68))
STCW Code Part A	up to and including the 2004 amendments (Res. MSC.180(79))
LL 1966	no amendments yet in force
LL PROT 1988	up to and including the 2004 amendments (Res. MSC.172(79))
TONNAGE 1969	no amendments yet adopted
COLREG 1972	up to and including the 2001 amendments (Res. A.910(22))

