

PORT STATE CONTROL COMMITTEE INSTRUCTION 49/2016/14

Guidelines for PSC inspections of Certification of Seafarers and Manning Requirements according to the STCW Convention, MLC and SOLAS

1. INTRODUCTION

1.1. General

The STCW Convention was adopted in 1978 and entered into force in 1984. The convention has since been amended several times, latest by the Manila Amendments 2010. Manning levels on board ships are decided by the flag State taking into account the requirements of STCW, SOLAS and MLC 2006.

1.2. Goals and purpose

This document is intended to provide basic guidance for a harmonized approach of port State control inspections in compliance with Chapter V, Regulation 14, paragraph 2 of SOLAS and Regulation I/4 of the STCW Convention, as amended and the requirements for manning in MLC 2006 Regulation 2.7

1.3. Application

SOLAS Chapter V Regulation 14, paragraph 2 only applies to ships covered by SOLAS Chapter I. The STCW Convention as amended applies to all seafarers serving on board seagoing ships. The STCW Code is divided into a mandatory Part A and a non-mandatory Part B. Part B of the STCW Code is not applicable during the inspection.

All passenger ships regardless of size and all other ships over 500 GT engaged on international voyages must have a "Minimum Safe Manning Document or equivalent" on board issued by the flag State.

MLC 2006 Reg 2.7 requires the flag State to ensure that there are sufficient numbers of seafarers on board to operate the ship safely, efficiently and with due regard to security under all conditions, taking into account concerns about seafarer fatigue and the particular nature and conditions of the voyage

Any new or single deficiency which is either a deficiency related to SOLAS, STCW or other IMO conventions, should preferably be registered with these convention references. When the deficiency is only ILO related, please refer to the appropriate PSCC instructions.

1.4. Relevant documentation

- The minimum safe manning document
- Certificate of competency
- Certificate of proficiency
- Documentary evidence
- Muster list
- Table of shipboard working arrangements and/or watch schedule
- Medical certificate

1.5. Definitions and abbreviations

The PSCC Instruction containing "Definitions and Abbreviations" serves as general document and is to be used in conjunction with this Paris MoU document.

2. INSPECTION OF SHIP

2.1 Pre-boarding preparation

- 2.1.1 Taking into account the type, size, engine power and other particulars of the ship, the PSCO should be aware of the relevant requirements of SOLAS Chapter V Regulation 14¹, STCW Convention and MLC 2006.

Footnotes contained in the relevant instruments are to be taken into account for reference purposes only and in any case of uncertainty regarding the manning or seafarer certification the flag State is to be consulted.

- 2.1.2 The PSCO should take notice of the manning and certification tool in the PSCO manual.
- 2.1.3 The PSCO should identify if the flag state is listed in IMO MSC.1/Circular 1163 latest edition as a party to STCW 1978 as amended. This Circular lists those Parties confirmed by the Maritime Safety Committee to have communicated information which demonstrates that full and complete effect is given to the relevant provisions of the Convention. If the flag State is not included in the list a more detailed inspection should be conducted as the ship may be considered as a ship from a country not having ratified the convention (no more favourable treatment).

2.2 Initial Inspection

2.2.1 **The inspection should be limited to the following:**

- 2.2.1.1 verification that all seafarers serving on board, who are required to be certificated, hold a CoC or a CoP or a valid dispensation, or that they can provide documentary proof that an application for an endorsement has been submitted to the flag State Administration for recognition of their certificate, if applicable
- 2.2.1.2 verification that the numbers and certificates of the seafarers serving on board are in conformity with the applicable Safe Manning requirements of the flag State.

2.2.2 **Certificates and documents**

- 2.2.2.1 The PSCO should examine the documents in paragraph 1.4, where applicable.²
- 2.2.2.2 During the verification of the seafarer's certificates and documents the PSCO must check if they are applicable to the ships particulars, the area of operation and the position on board of the seafarers.
- 2.2.2.3 **If the flag State Administration has not issued a MSMD or an equivalent** due to the ships' size the PSCO should examine the CoC and CoP for the crew and compare with the requirements of the STCW Convention and the requirements of the flag State Administration which is obliged to determine the minimum safe manning for the ship (MLC 2006, Reg.2.7). Regarding the number of seafarers on board the PSCO should then use his/her professional judgement taking into account chapter VIII of the STCW Convention and Code and the duration and area of the next voyage to determine if the voyage can be undertaken safely. The PSCO can also check the numbers of seafarers on board during the previous voyage. If necessary the PSCO should consult the

¹ The PSCO should be aware that SOLAS Ch V Regulation 14 has a footnote reference to Resolution A890(21) which is revoked and replaced by A.1047(27).

² PSCO's should note that the Manila Amendments to STCW contain transitional arrangements for the implementation of the Amendments. Amongst other provisions the transitional arrangements allow Parties to continue to recognize and endorse certificates in accordance with the previous provisions up to 1st January 2017.

flag State Administration to verify that the numbers on board are sufficient for the next voyage.

- 2.2.2.4 **If a ship is manned in accordance with a MSMD or equivalent document** issued by the flag State, the PSCO should accept that the ship is safely manned unless the document has clearly been issued without regard to the principles contained in the relevant instruments, in which case the PSCO should act according to the procedure defined in section 3.

The PSCO should be aware that the requirement for radio operators contained in STCW Reg I/4.2.4 and II/1 may be different from the minimum requirements specified in the MSMD. In this case the requirements of the MSMD should be accepted.

2.2.3 Certificates and endorsements

- 2.2.3.1 According to Article VI paragraph 2 of the STCW Convention certificates for masters and officers shall be endorsed by the issuing Administration in the form prescribed in regulation I/2 of the annex to the convention.
- 2.2.3.2 The requirement in Article VI also covers CoC for masters and officers and CoP issued in accordance with the provisions of regulations V/1-1 and V/1-2 to masters and officers.
- 2.2.3.3 The certificates of competency may be issued as one certificate with the required endorsement incorporated. If so incorporated, the form used should be that shown in section A-I/2, paragraph 1 of the STCW Code.
- 2.2.3.4 The endorsement may also be issued as separate document. If so, the form used should be that shown in section A-I/2, paragraph 2 of the STCW Code.
- 2.2.3.5 Administrations may use a format different from the format given in section A-I/2 of the STCW Code, provided that, as a minimum, the required information is provided in Roman characters and Arabic figures.
- 2.2.3.6 Certificates, endorsements attesting the issue of a certificate and endorsements attesting the recognition of a certificate (Reg I/10) shall each be assigned a unique number, except that endorsements may be assigned the same number as the certificate concerned, provided that number is unique.
- 2.2.3.7 Endorsements attesting the issue of a certificate and endorsements attesting the recognition of a certificate (Reg I/10) shall include a date of expiry which can not be more than five years after the date of issue. An endorsement expires as soon as the certificate endorsed expires or is suspended, cancelled or withdrawn³.
- 2.2.3.8 The capacity in which the holder of a certificate is authorized to serve shall be identified in the form of endorsement in terms identical to those used in the applicable safe manning requirements of the Administration.
- 2.2.3.9 Every seafarer serving on board, holding a certificate issued under the provision of the STCW Convention, must also hold a valid medical certificate (Reg.I/9)
- 2.2.3.10 Every person employed or engaged on a seagoing ship must have received approved familiarisation training before being assigned to shipboard duties and documentary evidence of this may normally be found on board.

³ In accordance with STCW Code B-I/2, if an application for revalidation is made within six months before expiry of the certificate endorsed, the certificate may be revalidated until the fifth anniversary of the date of validity, or extension of the validity of the certificate

- 2.2.3.11 If seafarers employed or engaged in any capacity on board on the business of the ship as part of the ships complement are assigned to any designated safety or pollution duties, they must have received basic training and be trained and qualified for such duties in accordance with the STCW Convention (Certificate of Proficiency).
- 2.2.3.12 The flag State may, in certain circumstances, in respect of ships other than passenger ships of more than 500 gross tonnage engaged on international voyages and tankers, exempt the seafarers from some of the requirements of Section A-VI/1. (See VI-1 sub 5).
- 2.2.4 Recognition by endorsement of a certificate issued by an Administration that is not the flag State of the ship**
- 2.2.4.1 A CoC and/or CoP issued to masters and officers in accordance with Reg V/1-1 or V/1-2 that has been issued by a State that is not the flag State Administration is required to be recognized by endorsement by the flag State Administration (STCW I/2.7). CoCs and CoPs issued by an Administration which is not a party included in the IMO MSC.1/circular 1163 **cannot** be recognized by the flag State Administration.
- 2.2.4.2 Seafarers must have their original CoC on board as well as any original endorsements of recognition.
- 2.2.4.3 An endorsement to attest recognition should not entitle a seafarer to serve in a higher capacity than the original CoC.
- 2.2.4.4 If circumstances require it a flag State Administration may permit a seafarer to serve for a period not exceeding three months on ships entitled to fly its flag whilst holding a valid CoC issued by another party and valid for service on that party's ships.
- 2.2.4.5 Documentary proof must be readily available that an application for endorsement has been submitted to the Administration of the flag State. This is often referred to as the confirmation of receipt of application (CRA). This provision allows Administrations to permit seafarers to serve on their ships whilst the application for recognition is being processed.
- 2.2.5 Guidance regarding Certificates, Documents and Endorsements**
- 2.2.5.1 If an endorsement to attest recognition or a certificate of equivalent competency has expired or has not been issued, or documentary proof of application for endorsement is not readily available, the PSCO should consider whether or not the ship can comply with Regulation I/4.1.2. The PSCO should consider whether the numbers and grades of certificates on board are in compliance with the applicable safe manning requirements of the flag State. If they are not this may be considered a deficiency in accordance with Reg I/4.2.4 and rectify before departure or detention may be applied.
- 2.2.6 Guidance regarding Alcohol and Drug abuse**
- 2.2.6.1 Drug and alcohol abuse and being under the influence of either is recognised as a serious impediment to safety. STCW A-VIII/1.10 requires that Administrations establish a limit for masters, officers and seafarers performing designated safety, security and marine environmental duties of not greater than 0.05% blood alcohol level or 0.25 mg/l alcohol in the breath or a quantity of alcohol leading to such concentration. PSCO's should refer to their national legislation and procedures if they suspect that a seafarer is performing designated safety, security or marine, environmental duties whilst under excess influence of alcohol or drugs.

2.2.6.2 In cases of suspected intoxication of masters, officers and other seafarers while performing designated safety, security and marine environmental duties the appropriate Authorities of the port and flag State should be notified.

2.2.6.3 If intoxication of a seafarer is proven then a deficiency should be recorded against Reg I/4.2.5

2.3 Clear grounds

2.3.1 Refer to Annex 8 and Annex 9 of the MoU text for overriding/unexpected factors and examples of “clear grounds” leading to a more detailed inspection.

2.4 More Detailed Inspection⁴

2.4.1 The PSCO should verify

2.4.1.1 a sufficient number of certificates from all departments to demonstrate that the vessel and the composition of the crew complies with the requirements of the STCW Convention.

2.4.1.2 that navigational or engineering watch arrangements conform to the requirements specified for the ship in the MSMD by the flag State and the requirements of STCW Convention regulation VIII/2 and Code section A-VIII/2.

2.4.2 An assessment of seafarers can only be conducted by the port State if there are clear grounds for believing that the ability of the seafarers of the ship to maintain watch keeping and security standards, as appropriate, as required by the STCW Convention are not being maintained.

2.4.3 Assessment of Competency

2.4.3.1 The assessment procedure provided in the STCW Convention regulation I/4, paragraph 1.3, should take the form of a verification that members of the crew who are required to be competent do in fact possess the necessary skills related to the occurrence.

2.4.3.2 Control procedures under the STCW Convention should be confined to the standards of competence of the individual seafarers on board and their skills related to watch keeping as defined in part A of the STCW Code. On board assessment of competency should commence with verification of the certificates of the seafarers.

2.4.3.3 Notwithstanding verification of the certificate, the assessment under the STCW Convention regulation I/4, paragraph 1.3 can require the seafarer to demonstrate the related competency at the place of duty. Such demonstration may include verification that operational requirements in respect of watch keeping standards have been met and that there is a proper response to emergency situations within the seafarer’s level of competence.

2.4.3.4 In the assessment, only the methods for demonstrating competence together with the criteria for its evaluation and the scope of the standards given in part A of the STCW Code shall be used. In cases where doubt of knowledge on operational use of equipment exists, the relevant officer or crew member should be asked to perform an operational control. Failure to perform an operational control could indicate the lack of familiarization or competency.

⁴ Refer to a PSCC Instruction for guidelines relating to the inspection of hours of work/rest and fitness for duty.

2.4.3.5 Assessment of competency related to security should be conducted for those seafarers with specific security duties only in case of clear grounds, as provided for in chapter XI/2 of the International Convention for the Safety of Life at Sea (SOLAS) by the competent security Authority. In all other cases, it should be confined to the verification of the certificates and/or endorsements of the seafarers.

2.5 Expanded Inspection

2.5.1 An expanded inspection should be carried out in accordance with the PMoU procedures and guidelines. There are no special requirements regarding certification of seafarers to follow during an expanded inspection, unless clear grounds are noted.

3 FOLLOW-UP ACTION

3.1 Possible action to be considered by PSCO for the manning control in compliance with STCW Convention may be dealt with in two ways:

- 3.1.1 Control regarding ship related documentation
- 3.1.2 Control regarding seafarers documentation.

3.2 Possible deficiencies

- 3.2.1 Refer to Annex
- 3.2.2 Incorrect wording or missing information may be a cause for suspicion regarding fraudulent certificates CoCs, CoPs or endorsements. In this case the PSCO should act and investigate according to the procedure defined in section (3.4.2.6).

3.3 Deficiencies warranting detention

- 3.3.1 A deficiency that may warrant detention is limited by STCW Regulation I/4.2 and I/4.3 to the following
 - 3.3.1.1 Failure of seafarers to hold a certificate, to have an appropriate certificate, to have a valid dispensation or to provide documentary proof that an application for endorsement has been submitted to the flag State
 - 3.3.1.2 Failure to comply with the applicable safe manning requirements of the flag State
 - 3.3.1.3 Failure of navigational or engineering watch arrangements to conform to the requirements specified for the ship by the flag State
 - 3.3.1.4 Absence in a watch of a person qualified to operate equipment essential to safe navigation, safety radiocommunications or the prevention of marine pollution and
 - 3.3.1.5 Inability to provide, for the first watch at the commencement of a voyage and for subsequent relieving watches, persons who are sufficiently rested and otherwise fit for duty.
- 3.3.2 Before detaining a ship reference should be made to a PSCC Instruction Guidance on taking action when deficiencies found.

3.4 Actions to be considered

3.4.1 **Ship related documentation**

3.4.1.1 If a valid safe manning document or equivalent is not presented or if the actual crew number or composition does not conform to the manning document, the port State should request the flag State for advice as to whether or not the ship should be allowed to sail with the actual number of crew and its composition. Such a request and response should be by expedient means and either party may request the communication in writing. If the actual crew number or composition is not brought in accordance with the minimum safe manning document or the flag State does not advise that the ship may sail, the ship may be considered for detention after the criteria set out in 3.3 have been taken into account.

3.4.2 **Seafarers documentation**

3.4.2.1 All STCW Convention related deficiencies should be rectified before departure in accordance with Reg I/4 par 2.1.

3.4.2.2 When the manning is not in accordance with the MSMD and no flag State Endorsements or no "documentary proof of application" can be presented, the port State should consult the flag State, whenever possible due to time difference or other conditions. However, if it is not possible to establish contact with the flag State, the port State should forthwith inform, in writing, the master of the ship and the Consul or, in his absence, the nearest diplomatic representative or the maritime authority of the State whose flag the ship is entitled to fly, so that appropriate action may be taken.

3.4.2.3 In cases where an unqualified seafarer has been on duty and/or the watch schedule has not been followed the flag State should be informed and this could be considered as an ISM related deficiency. Due account should be taken of any onboard procedures or navigational situations that might require a change to the schedule – such as when a manoeuvre or other action to avoid a hazard is taking place and it would be unsafe to change the watch at that time. An unqualified seafarer might be on duty with a qualified seafarer for training purposes.

3.4.2.4 In cases where there is a seafarer on duty who is not qualified to carry out an operation, that particular operation should be stopped immediately.

3.4.2.5 In assessing if a suspected fraudulent certificate is truly issued by a Party or a flag State Administration, the Port State should consult the STCW Parties involved asking for a verification of the authenticity and validity of certificates produced by seafarers.

3.4.2.6 Proper point of contact to obtain certificates verification via e-mail have been given to IMO by some of the certificate-issuing authorities and are available for consultation in IMO public website (<http://www.imo.org/OurWork/HumanElement/TrainingCertification/Pages/CertificateVerification.aspx>). Some helpful information are also provided by EMSA STCW Information System - STCW-IS (<https://portal.emsa.europa.eu/web/stcw>).

4 **REPORTING**

4.1 **Reports**

4.1.1 The PSCO should be aware that more than one relevant instrument (STCW, SOLAS or ILO) could be applicable. The PSCO should decide which one is the most appropriate.

ANNEX

Annex 1 List of possible deficiencies

Annex 2 List of certificates or documentary evidence required under the STCW Convention and Special training requirements for personnel on board tankers and passenger ships

Annex 3 Flowchart of inspection

Annex 1 List of possible Deficiencies

Group code	Defective item	Nature of defect	AT Code	Convention reference	Example deficiency	Detainable*
Certificates and Documentation – ship certificate						
01113	Minimum safe manning document	Missing, Invalid, Not properly filled, Entries missing, Withdrawn, Not as required	Within 14 days, Before departure, At an agreed repair port, As in the agreed class condition, Rectified, At the next port, As in the agreed flag State condition, Master instructed to ..	SOLAS 74 Ch V Reg 14	Minimum Safe Manning Document, or equivalent, (SOLAS V/R.14) not presented or expired or invalid	Yes
Certificates and Documentation – crew certificates						
01201	Certificates for master and officers	Missing, Invalid, Entries missing, Not as required, Expired, Not revalidated	Rectified, At the next port, Within 14 days, Before departure, At an agreed repair port, As in the agreed class condition, As in the agreed flag State condition, Master instructed to	STCW Reg I/4.2.1 STCW Reg I/4.2.2 STCW Reg I/4.2.3 STCW Reg I/4.2.4 STCW Reg I/4.2.5 STCW Reg I/9	Failure of seafarers to hold a certificate, to have an appropriate certificate, to have a valid dispensation or to provide documentary proof that an application for endorsement has been submitted to the flag State as applicable	Yes
01202	Certificate for rating for watchkeeping	Missing, Invalid, Entries missing, Not as required, Expired, Not revalidated	Rectified, At the next port, Within 14 days, Before departure, At an agreed repair port, As in the agreed class condition, As in the agreed flag State condition, Master instructed to	STCW Reg I/4.2.2 STCW Reg I/4.2.3 STCW Reg I/9	Missing Flag state certificates or certificates not in the format required by STCW. Certificates out of date CoC not available or serious discrepancy in the CoC	Yes
01203	Certificates for radio personnel	Missing, Invalid, Entries missing, Not as required, Expired, Not revalidated	Rectified, At the next port, Within 14 days, Before departure, At an agreed repair port, As in the agreed class condition, As in the agreed flag State condition, Master instructed to	STCW Reg I/4.2.1 STCW Reg I/4.2.2 STCW Reg I/4.2.3 STCW Reg I/4.2.4 STCW Reg I/9	Evidence that a certificate has been fraudulently obtained or the holder of a certificate is not the person to whom that certificate was originally issued Failure to provide proof of professional proficiency for the duties assigned to seafarers for the safety of the ship and the prevention of pollution Failure to hold a valid medical fitness certificate	Yes
01204	Certificate for personnel on tankers	Missing, Invalid, Entries missing, Not as required, Expired, Not revalidated	Rectified, At the next port, Within 14 days, Before departure, At an agreed repair port, As in the agreed class condition, As in the agreed flag State condition, Master instructed to	STCW Reg I/4.2.1 STCW Reg I/4.2.2 STCW Reg I/4.2.4 STCW Reg V/1-1 STCW Reg V/1-2	Tanker Documentation: Mandatory basic or advanced training or endorsement not presented See also 01214 and 01215	Yes
01205	Certificate for personnel on fast rescue boats	Missing, Invalid, Entries missing, Not as required, Expired, Not revalidated	Rectified, At the next port, Within 14 days, Before departure, At an agreed repair port, As in the agreed class condition, As	STCW Reg I/4.2.1 STCW Reg I/4.2.2 STCW Reg I/4.2.4 STCW Reg	Failure of seafarers to hold a certificate or to have documentary evidence as applicable No evidence of basic training, or other	Yes

			in the agreed flag State condition, Master instructed to	VI/2	certificate of proficiency, if not included in a qualification certificate held.	
01206	Certificate for advanced fire-fighting	Missing, Invalid, Entries missing, Not as required, Expired, Not revalidated	Rectified, At the next port, Within 14 days, Before departure, At an agreed repair port, As in the agreed class condition, As in the agreed flag State condition, Master instructed to	STCW Reg I/4.2.1 STCW Reg I/4.2.2 STCW Reg I/4.2.4 STCW Reg VI/3		Yes
01222	Doc evidence for personnel on passenger ships	Missing, Invalid, Entries missing, Not as required, Expired, Not revalidated	Rectified, At the next port, Within 14 days, Before departure, At an agreed repair port, As in the agreed class condition, As in the agreed flag State condition, Master instructed to	STCW Reg I/4.2.1 STCW Reg I/4.2.2 STCW Reg I/4.2.4 STCW Reg V/2		Yes
01209	Manning specified by the minimum safe manning doc	Missing, Invalid, Entries missing, Not as required	Rectified, At the next port, Within 14 days, Before departure, At an agreed repair port, As in the agreed class condition, As in the agreed flag State condition, Master instructed to	STCW Reg I/4.2 SOLAS 74 Ch V Reg 14	Manning (number or qualification) not in accordance with the Safe Manning Document Failure to comply with the applicable safe manning requirements of the flag State Failure of navigational or engineering watch arrangements to conform to the requirements specified for the ship by the flag State Absence in a watch of a person qualified to operate equipment essential to safe navigation, safety radiocommunications or the prevention of marine pollution and	Yes
01210	Certificate for medical first aid	Missing, Invalid, Entries missing, Not as required, Expired, Not revalidated	Rectified, At the next port, Within 14 days, Before departure, At an agreed repair port, As in the agreed class condition, As in the agreed flag State condition, Master instructed to	STCW Reg I/4.2.1 STCW Reg I/4.2.2 STCW Reg VI/4	Failure of seafarers to hold a certificate or to have documentary evidence as applicable No evidence of basic training, or other certificate of proficiency, if not included in a qualification certificate held.	Yes
01211	Cert for personnel on survival craft & rescue boat	Missing, Invalid, Entries missing, Not as required, Expired, Not revalidated	Rectified, At the next port, Within 14 days, Before departure, At an agreed repair port, As in the agreed class condition, As in the agreed flag State condition, Master instructed to	STCW Reg I/4.2.1 STCW Reg I/4.2.2 STCW Reg I/4.2.4 STCW Reg VI/2		Yes
01212	Certificate for medical care	Missing, Invalid, Entries missing, Not as	Rectified, At the next port, Within 14 days, Before departure, At	STCW Reg I/4.2.1 STCW Reg		Yes

		required, Expired, Not revalidated	an agreed repair port, As in the agreed class condition, As in the agreed flag State condition, Master instructed to	I/4.2.2 STCW Reg VI/4		
01213	Evidence of basic training	Missing, Invalid, Entries missing, Not as required, Expired, Not revalidated	Rectified, At the next port, Within 14 days, Before departure, At an agreed repair port, As in the agreed class condition, As in the agreed flag State condition, Master instructed to	STCW Reg I/4.2.1 STCW Reg I/4.2.2 STCW Reg VI/1	No evidence of basic training, or other certificate of proficiency, if not included in a qualification certificate held	Yes
01214	Endorsement by flagstate	Expired, Missing	Rectified, At the next port, Within 14 days, Before departure, At an agreed repair port, As in the agreed class condition, As in the agreed flag State condition, Master instructed to	STCW Reg I/4.2.1 STCW Reg I/4.2.2 STCW Reg I/4.2.3 STCW Reg I/10	Missing Flag state Endorsements And/or The ship has a master, officer or rating holding a certificate issued by a country which has not ratified STCW as amended	Yes
01215	Application for Endorsement by flagstate	Expired, Missing	Rectified, At the next port, Within 14 days, Before departure, At an agreed repair port, As in the agreed class condition, As in the agreed flag State condition, Master instructed to	STCW Reg I/4.2.1 STCW Reg I/4.2.2 STCW Reg I/4.2.3 STCW Reg I/10	Missing "documentary proof of application" or "confirmation of receipt of application" CRA	Yes
01217	Ship Security Officer certificate	Missing, Invalid, Entries missing, Not as required, Expired, Not revalidated	Rectified, At the next port, Within 14 days, Before departure, At an agreed repair port, As in the agreed class condition, As in the agreed flag State condition, Master instructed to	STCW Reg I/4.2.1 STCW Reg I/4.2.2 STCW Reg I/4.2.3 STCW Reg VI/5		Yes
01223	Security awareness training or security training for seafarers with designated security duties	Entries missing, Expired, Invalid, Missing, Not as required, Not revalidated	Rectified, At the next port, Within 14 days, Before departure, As in the agreed flag State condition, Master instructed to	STCW Reg VI/6		Yes
01216	Certificate for personnel on ships subject to the IGF Code	Missing, Invalid, Entries missing, Not as required, Expired, Not revalidated	Rectified, At the next port, Within 14 days, Before departure, At an agreed repair port, As in the agreed class condition, As in the agreed flag State condition, Master instructed to	STCW Reg V/3	IGF Documentation: Mandatory basic or advanced training not presented	Yes
Certificates and Documentation - document						
01306	Schedules for watchkeeping personnel	Missing, Not properly filled, Not posted, Not as required	Rectified, At the next port, Within 14 days, Before departure, At an agreed repair port, As in the agreed	STCW Reg I/4.2.2 STCW Reg I/4.2.3 STCW Reg I/4.2.4	Watch schedule not posted or not being followed Unqualified person on duty	Yes

			class condition, As in the agreed flag State condition, Master instructed to ...		Uncertified personnel assigned duties on the schedule The absence of a table of shipboard working arrangement or of records of hours of work or rest of seafarers. Reference should be made to a PSCC Instruction concerning hours of work or rest. Inability to provide, for the first watch at the commencement of a voyage and for subsequent relieving watches, persons who are sufficiently rested and otherwise fit for duty. Refer to PSCC Instruction on rest hours	
01307	Tables of working hours	Missing, Not posted, Incorrect language, Entries missing, Not as required, Not adhered to	Rectified, At the next port, Within 14 days, Before departure, At an agreed repair port, As in the agreed class condition, As in the agreed flag State condition, Master instructed to ...	STCW Reg I/4.2.2 STCW Reg I/4.2.3 STCW Reg I/4.2.4 STCW Reg I/4.2.5		Yes
Radiocommunication						
05118	Operation of GMDSS equipment	Lack of qualified persons, lack of familiarity	Rectified, At the next port, Within 14 days, Before departure, At an agreed repair port, As in the agreed class condition, As in the agreed flag State condition, Master instructed to ...	STCW Reg I/4.2.1 STCW Reg I/4.2.4	Information or evidence that the master or crew is not familiar with essential shipboard radio communications operations or that such operations have not been carried out.	Yes
Working and living conditions						
09235	Fitness for duty – work and rest hours	Unfit for duty, Rest hours insufficient, Work hours exceeded, Not as required	Rectified, At the next port, Within 14 days, Before departure, At an agreed repair port, As in the agreed class condition, As in the agreed flag State condition, Master instructed to ...	STCW Reg I/4.2.5	Inability to provide, for the first watch at the commencement of a voyage and for subsequent relieving watches, persons who are sufficiently rested and otherwise fit for duty. Refer to PSCC Instruction on rest hours.	Yes
09237	Fitness for duty - intoxication	Unfit for duty	Rectified, before departure, Master instructed to	STCW Reg I/4.2.5	Inability to provide, for the first watch at the commencement of a voyage and for subsequent relieving watches, persons who are sufficiently rested and otherwise fit for duty.	Yes
Propulsion and auxiliary machinery						
13108	Operation of machinery	Lack of training, lack of familiarity	Rectified, At the next port, Within 14 days, Before departure, At an	STCW Reg I/4.2.1 STCW Reg I/4.2.4	Where a qualified seafarer's competence is assessed in accordance with criteria in STCW for	Yes

			agreed repair port, As in the agreed class condition, As in the agreed flag State condition, Master instructed to ...		assessing competence Information or evidence that the master or crew is not familiar with essential shipboard operations relating to the safety and security of ships or the prevention of pollution, or that such operations have not been carried out.	
Pollution prevention - ballast water						
14806	Crew training and familiarization	Lack of familiarity	Rectified, At the next port, Within 14 days, Before departure, At an agreed repair port, As in the agreed class condition, As in the agreed flag State condition, Master instructed to ...	STCW Reg I/4.2.1 STCW Reg I/4.2.4	Marpol ballast water related deficiency Information or evidence that the master or crew is not familiar with essential shipboard operations relating to the prevention of pollution, or that such operations have not been carried out.	Yes

* In case of detention, only convention references STCW Regs I/4.2.1 to 4.2.5 should be used

Annex 2 List of Certificates or Documentary Evidence required under the STCW Convention

Title	Reference Regulation	Crew required to be trained	Kind of certificate	Revalidation required	Endorsement attesting recognition
Officer in charge of navigational watch (≥ 500 GT)	II/1	Officers in charge of a navigational watch	Certificate of Competency	Yes	Yes
Master and Chief Mate (≥ 500 GT)	II/2	Master and Chief Mate	Certificate of Competency	Yes	Yes
Master and Officer in charge of navigational watch (< 500 GT) near coastal voyages	II/3	Master and Officers in charge of a navigational watch	Certificate of Competency	Yes	Yes
Master and Officer in charge of navigational watch (< 500 GT) not engaged in near coastal voyages	II/2, II/1	Master and Officers in charge of a navigational watch	Certificate of Competency	Yes	Yes
Rating forming part of a navigational watch	II/4	Watch keeping personnel	Certificate of Proficiency	No	No
Rating as able seafarer deck (>500 GT)	II/5	Able seafarer deck personnel	Certificate of Proficiency	No	No
Engineer in charge of an engineering watch (≥ 750 kW)	III/1	Engineers in charge of a navigational watch	Certificate of Competency	Yes	Yes
Chief Engineer and Second Engineer (≥ 3000 kW)	III/2	Chief and Second engineer	Certificate of Competency	Yes	Yes
Chief Engineer and Second Engineer (between 750 and 3000 kW)	III/3	Chief and Second Engineer	Certificate of Competency	Yes	Yes
Rating forming part of an engineering watch	III/4	Watch keeping personnel	Certificate of Proficiency	No	No
Rating as able seafarer engine (>750 kW)	III/5	Able seafarer engine personnel in a manned engine-room or designated to perform duties in a periodically unmanned engine room	Certificate of Proficiency	No	No
Electro-technical officer (>750 kW)	III/6	Electro-technical officer	Certificate of Competency	Yes	Yes
Electro-technical rating (>750 kW)	III/7	Electro-technical rating	Certificate of Proficiency	No	No
Radio operator	IV/2	Refer to Safety Radio Certificate and/or Manning Document	Certificate of Competency	Yes	Yes
Safety Familiarisation	VI/1	All persons employed or engaged onboard, other than passengers	Evidence	No	No
Basic Training	VI/1 A-VI/1-1	All seafarers with designated safety or pollution prevention duties	Certificate of Proficiency	Yes refresher training	No
Survival craft , rescue boats	VI/2.1 A-VI/2.1	Officers and crew specifically designated by the muster list	Certificate of Proficiency	Yes refresher training	No
Fast Rescue Boats	VI/2.2	Officers and crew	Certificate of	Yes refresher	No

* The proficiency required for these certificates are included in the requirements of II/1, II/2, II/3, III/1, III/2, III/3, III/6 and VII/2. A separate certificate of proficiency may not be issued .

	A-VI/2.7 to 10	specifically designated by the muster list	Proficiency	training	
Advanced Fire Fighting	VI/3 A-VI/3.1 to 4	Officers and crew designated to control fire-fighting operations	Certificate of Proficiency	Yes refresher training	No
Medical First Aid	VI/4.1 A-VI/4, para 1 to 3	Officers and crew designated to provide medical first aid on board ship	Certificate of Proficiency	No	No
Medical Care	VI/4.2 A-VI/4-2, para 4 to 6	Master and other personnel designated to take charge of medical care on board	Certificate of Proficiency	No	No
SSO	VI/5	SSO designated by Company	Certificate of Proficiency	No	No
Security awareness training or security training	VI/6	Seafarers with designated security duties	Certificate of Proficiency	No	No

* The proficiency required for these certificates are included in the requirements of II/1, II/2, II/3, III/1, III/2, III/3, III/6 and VII/2. A separate certificate of proficiency may not be issued .

Special training requirements for personnel on board Tankers

Title	Regulation	Crew required to be trained	Kind of Certificate	Revalidation	Endorsement attesting recognition
Certificate of Proficiency or endorsement to a Certificate of Competency – For masters and officers on oil, chemical or liquefied gas tankers	V/1-1, V/1-2	Masters and officers	Certificate of Proficiency	Yes	Yes
Certificate of Proficiency – For ratings on oil, chemical or liquefied gas tankers	V/1-1, V/1-2	Ratings	Certificate of Proficiency	No	No

Special training requirements for personnel on board Passenger ships

<i>Title</i>	Regulation	Crew required to be trained	Kind of certificate	Refresh every \leq5 years
Training in crowd management	V/2.4, A V/2.1	Master, officers and other personnel designated to assist passengers in emergency situation	Documentary evidence	Required
Safety Training	V/2.5 V/2, A V/2.2	Personnel providing direct services to passengers in passenger spaces	Documentary evidence	Not required
Training in passenger safety, cargo safety and hull integrity	V/2.7, A V/2.4	Master, chief mate, chief engineer, second engineer and every person assigned immediate responsibility for embarking and disembarking passengers, loading, discharging or securing cargo, or closing hull openings on board ro-ro passenger ships	Documentary evidence	Required
Training in crisis management and human behaviour	V/2.6,A V/2.3	Master, chief mate, chief engineer, second engineer and every person having responsibility for the safety of passengers in emergency situations	Documentary evidence	Required

Special training requirements for personnel on board ships subject to the IGF Code

Title	Regulation	Crew required to be trained	Kind of Certificate	Revalidation	Endorsement attesting recognition
Certificate of Proficiency in basic training for service on ships subject to the IGF Code	V/3	Seafarers responsible for designated safety duties associated with the care, use or in emergency response to the fuel on board ships subject to the IGF Code	Certificate of Proficiency	No	No
Certificate of Proficiency in advanced training for service on ships subject to the IGF Code	V/3	Masters, engineer officers and all personnel with immediate responsibility for the care and use of fuels and fuel systems on ships subject to the IGF Code	Certificate of Proficiency	No	No

Annex 3

