

Tokyo MOU Flag Performance Improvement Seminar

Application of, and obligations under, the
III Code



December 2022

NODA Takuji
Japan



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Overview

- Introduction to the III code
 - (1) History
 - (2) Resolutions for the amendments to the Conventions to make the III Code mandatory
 - (3) Structure of III code
 - (4) Element of III Code : Rights and obligations under various international instruments
 - ① Part 1 Common Area
 - ② Part 2 Flag States (e.g. Japanese system)
 - ③ Part 3 Coastal States
 - ④ Part 4 Port States
- ※ Discussion sessions are dotted for in-depth understanding.

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Reference resources

In addition to this presentation your training material contains the following reference material:

- *The International Maritime Organization (IMO) Instruments Implementation Code (III Code) :A.1070(28)*
- *Framework and Procedures for the IMO Member State Audit Scheme: A.1067(28)*
- *Transition from the VIMSAS to IMSAS:A.1068(28)*
- *2019 Non-Exhaustive List of obligations under instrument to the IMO III CODE:A1141(31)*
- *Chapter 1 of the Liberian Maritime Law (Title 21 of the code of Laws) The Code of Safety for small commercial vessels – Operating in the Caribbean and less than 24m in length (SVC Code 2017)*
- *The Code of Safety for Caribbean Cargo Ships – Revision 5 (CCSS Code) – for cargo ships of less than 500GT*
- *GISIS: Member State Audits: <https://gisis.imo.org/Public/MSA/OtherDocuments.aspx>*
 - *(Consolidated audit summary reports)*
 - *(Review of the consolidated audit summary reports)*
 - *(Audit schedule for the mandatory Scheme)*
 - *(Member State Access and Nomination of Auditors)*

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1. Introduction of III Code: (1) History

- The seventh session of the United Nations Commission on Sustainable Development (CSD 7), invited IMO to develop binding measures to ensure that ships of all flag States meet international rules and standards so as to give full and complete effect to UNCLOS, as well as to the provisions of relevant IMO conventions.
- In November 2003, the resolution A.946(23) “Voluntary IMO Member State Audit Scheme” (VIMSAS) was adopted.
- The two instruments were adopted by the Assembly at its twenty-fourth session, in November 2005,
 - The Code for the implementation of mandatory IMO instruments; (the audit standard and guideline for maritime administrations);A.973(24) and
 - The Framework and Procedures for the Voluntary IMO Member State Audit Scheme: A.974(24)
- IMO performed voluntary audits from September 2006 until December 2015.
 - During this period, 67 Member States, two Associate Members and five dependent territories were audited.
- The resolution A.1068(28) on the Transition from VIMSAS to IMO Member State Audit Scheme was adopted, which were implemented from December 2013 to December 2015.

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1. Introduction of III Code: (1) History

- **Current version;**

- **IMO Instrument Implementation Code (III Code), A.1070(28):**
- **Framework and Procedures for the IMO member state audit scheme, A.1067(28)** was adopted in 2013
- **Became mandatory, as Audit Standard for IMSAS on January 1st, 2016**
- A.1141(31) in 2019: "Non-exhaustive list of obligations under instruments relevant to the III Code", up-dated

* **VIMSAS:** Voluntary IMO Member State Audit Scheme

IMSAS: IMO Member State Audit Scheme

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(2) Resolutions for the amendments to the Conventions to make the III Code mandatory

- The International Convention on **Load Lines, 1966**; A1083(28)
- The Protocol 1988 to LL66; MSC 375(93)
- The International Convention on **Tonnage** Measurement of Ships, 1969; A1084(28)
- The Convention on the International Regulations for Preventing Collisions at Sea, 1972 (**COLREGS**); A1085(28)
- The International Convention for the Safety of Life at Sea, 1974 (**SOLAS**); MSC366(93)
- The International Convention on the Prevention of Pollution from Ships (**MARPOL**); MEPC 246(66), MEPC247(66)
- The International Convention on Standards of Training, Certification and Watch-keeping of Seafarers, 1978 (**STCW**); MSC 374(93)

Wherever the word "should" is used in the III Code, it is mentioned to be read as being "shall", except for paragraphs 29, 30, 31 and 32

* **Para 29 – 32: qualification requirements of flag state surveyors**

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Amendments of the Convention; SOLAS 74

SOLAS 74 Ch13: Verification of compliance

Reg 2: Contracting Governments shall use the provisions of the **Code for Implementation** in the execution of their obligations and responsibilities contained in the present Convention.

Reg 3.1 Every Contracting Government shall be subject to periodic audits by the Organization in accordance with the **audit standard** to verify compliance with and implementation of the present Convention.

3.3 Every Contracting Government shall have responsibility for facilitating the conduct of the audit and implementation of a programme of actions to address the findings, based on the guidelines adopted by the Organization.*

*A.1067(28) Framework and Procedures for IMSAS

The schedule of Audits is posted at GISIS: Member State Audits.

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Main idea of the III code

- “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; and
 - (c) reporting to the Organization, as required,”

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(3) Structure of III Code

- **Part 1: Common areas**
 - Objective
 - Strategy
 - General
 - Scope
 - Initial actions
 - Communication of information
 - Records
 - Improvement
- **Part 2: Flag States**
 - Implementation
 - Delegation of authority
 - Enforcement
- **Part 3: Coastal States**
 - Implementation
 - Enforcement
 - Evaluation and review
- **Part 4: Port States**
 - Implementation
 - Enforcement
 - Evaluation and review

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(4) Element of III Code –

① Part 1: Common areas

The common areas of the III Code give general guidance on what actions states should take to implement the relevant IMO instruments:

Objective: Sec 1-2

- to enhance global maritime safety and protection of the marine environment
- To assist States in the implementation
- Role as a flag state or a coastal state or a port state

General: Sec 4-5

- States should (shall) be responsible for promulgating laws and for taking all other steps which may be necessary to give those instruments full and complete effect
- States should (shall) act so as not to transfer, directly or indirectly, pollution into another.

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(4) Element of III Code – a. Part 1: Common areas

SCOPE: Sec 6-7

- SOLAS, MARPOL, STCW, LL, TMS, COLREG
- Section 7 of the III Code covers the development of the policies, legislation, associated rules and regulations and administrative procedures for the implementation and enforcement of those obligations and responsibilities by the State. This is consistent with UNCLOS.

Initial Actions: Sec 8

- The government of the state should (shall) ...implement and enforce through appropriate national legislation; This means it should have:
 - ability to promulgate law
 - a legal basis for the enforcement of its national necessary national laws
 - the availability of sufficient personnel

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III Code – part 1, section 7 what is that about?

- The development of relevant policies, legislation, associated rules and regulations and administrative procedures are essential for the implementation of the obligations and responsibilities of the State.
- As such, it is a critical element examined as part of the IMSAS audit.
- In many cases there is an opportunity for improvement in how this is implemented with respect to RO's.

- **Points** to note:

Legislation developed by the administration to give effect to conventions is as relevant to the Recognised Organisation (RO) as it is the administration.

This is because the legislation must permit the administration to delegate powers to the RO.

Procedures and rules for the issue, variation and revocation of statutory certificates should be followed by RO's given their authorisation is for them to act on behalf of the flag State under domestic law. An assessment of how the RO applies national requirements would normally be part of any audit of the RO by the administration.

<https://gisis.imo.org/Public/MSA/OtherDocuments.aspx>

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III Code – part 1, section 7 what is that about?

- Such rules, regulations, processes, procedures and agreements need to cover the full scope of activities that may be undertaken by the flag State or any entity to which any responsibility is devolved.
- This is even more complex where the operation of the flag has been delegated to an outside commercial entity. In some cases the flag state will appoint 'commissioners' to oversee the operation of the flag.
- Looking at Liberia as an example. The Liberian Maritime Authority is based in the United States as an agent under Liberian Maritime Law and is co-located with the Office of the Deputy Commissioner. A copy of the relevant act is in the additional reading material.
- The nature of the appointment the Deputy Commissioner gives them full power to make rules and regulations on behalf of the government of Liberia. This is a significant transfer of authority.

There are risks to this approach as the commercial entity may have different priorities to those of the government of the state that appoints them.

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(4) Element of III Code – a. Part 1: Common areas

Records: Sec 10

- evidence of conformity to requirement

Improvement: Sec 11-14

- Stimulate a culture for improvement
 - Continual training programs
 - Regional and national drills
 - Using reward and incentive mechanisms
- Take action to identify and eliminate the cause of any non-conformities.

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(4) Element of III Code –

② Part 2: Flag States

• **Implementation**

- 15 In order to effectively discharge their responsibilities and obligations, flag States should (shall):
- .1 implement policies through issuing national legislation and guidance
 - .2 assign responsibilities within their Administrations
- 16 A flag State should (shall) establish resources and processes capable of administering a safety and environmental programme consist of :
- .1 administrative instructions to implement applicable international rules and regulations
 - .2 compliance with the requirements of the applicable international instruments, using an audit and inspection programme
 - .3 compliance with the requirements related to international standards of training, certification and watchkeeping of seafarers.
 - .4 the conduct of investigations into casualties
 - .5 guidance concerning “to the satisfaction of the Administration”
- 17 A flag State should (shall) ensure that ships entitled to fly its flag are sufficiently and efficiently manned

15

(4) Element of III Code –

② Part 2: Flag States

Delegation of authority: Sec 18-21

- 18 A flag State authorizing a recognized organization to act ..., in conducting the surveys, inspections and audits, issuing of certificates ..., should (shall) regulate such authorization(s) in accordance with the applicable requirements of the international mandatory instruments* to:
- .1 determine that the RO has adequate resources
 - .2 have as its basis a formal written agreement between the Administration and the RO
 - .3 issue specific instructions ...that a ship is found unfit...
 - .4 provide the recognized organization with all appropriate instruments of national law
 - .5 require that the recognized organization maintain records,

16

(4) Element of III Code –

b. Part 2: Flag States

19 No flag State should (shall) mandate its RO ...**beyond convention** requirements and the mandatory instruments of the Organization

20 The flag State should (shall) establish or participate in an **oversight programme**

- **exercising its authority to conduct supplementary surveys** to comply with the requirements of applicable international instruments, national requirements which supplement them,
- **Providing staff** who have a good knowledge

21 A flag State nominating surveyor(s) for the purpose of carrying out surveys, audits and inspections on its behalf should (shall) regulate: issue specific instruction (18.3), appropriate instrument (18.4)

17

(4) Element of III Code –

② Part 2: Flag States

Enforcement: Sec 22-27

22 A flag State should (shall) take all necessary measures to secure observance of international rules and standards...

- .1 **prohibiting ships ...from sailing** until such ships can proceed to sea in compliance with the requirements...
- .2 the **periodic inspection** of ships... and its crew
- .3 the **surveyor to ensure,...** that seafarers are familiar with: their specific duties and ship arrangements,... and procedures;
- .4 ensuring that the **ship's complement ...** can effectively coordinate activities in **an emergency situation...**
- .5 & .7 providing, in national laws ... for **penalties** ...to discourage violation by ships and individuals...
- .6 & .8 **instituting proceedings, after an investigation...** where the violation has occurred by ships and individuals...

18

(4) Element of III Code –

b. Part 2: Flag States

- 23 A flag State should (shall) **develop and implement** a control and monitoring programme ... in order to:
- .1 provide ... **casualty investigations**
 - .2 provide for the collection of **statistical data...**
 - .3 provide for **a timely response... to deficiencies** and alleged pollution incidents reported by port or coastal States.

19

(4) Element of III Code –

b. Part 2: Flag States

24 Furthermore, the flag State should (shall) :

- .1 **ensure compliance with international instruments through national legislation**
- .2 **provide** an appropriate number **of qualified personnel** to implement the national legislation ...for performing investigations and surveys;
- .3 **provide** a sufficient number of qualified...**personnel to investigate incidents where ships ...detained by port States;**
- .4 **provide** a sufficient number of qualified...**personnel to investigate incidents where ...individuals questioned by port States**
- .5 **ensure the training** and oversight of the activities of flag State surveyors and investigators.

20

(4) Element of III Code –

② Part 2: Flag States

25 When informed... a ship detained by a port State, the flag State should (shall) oversee that appropriate corrective measures...

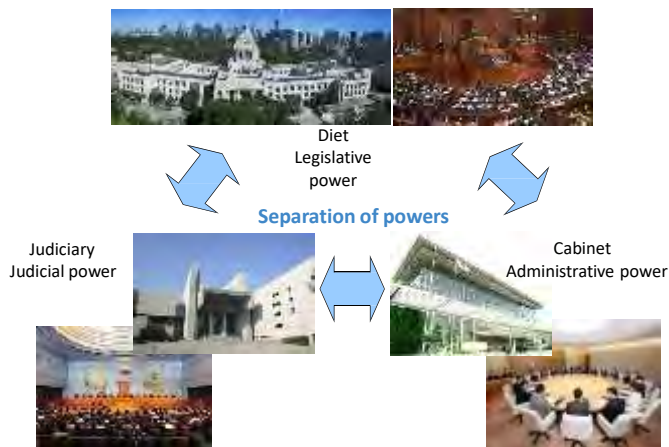
26 A flag State, or a RO..., should (shall) only issue or endorse an international certificate after determined that the ship meets all requirements.

27 A flag State should (shall) only issue an international certificate of competency or endorsement to a person after determined that the person meets all requirements.

21

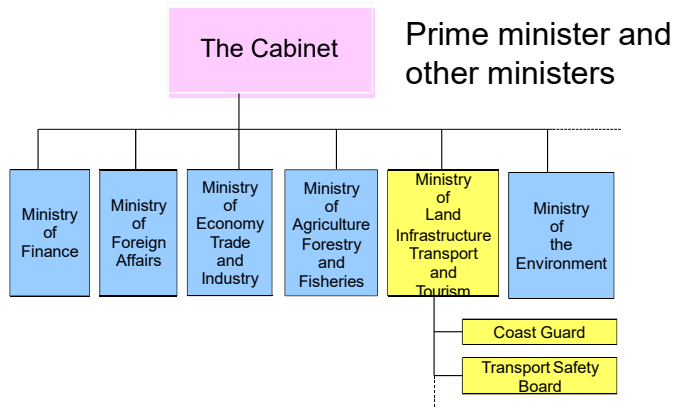
In case of Japan

Fundamental Structure: Government of Japan



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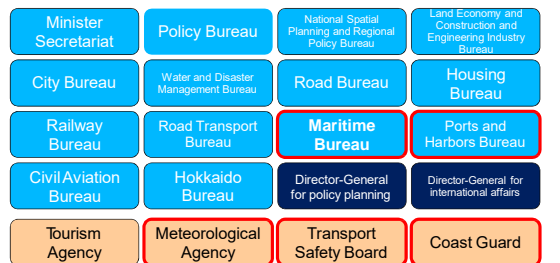
Structure under the Cabinet



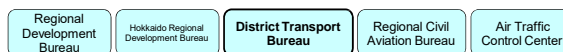
Structure of “Ministry of Land Infrastructure Transport and Tourism”

<https://www.mlit.go.jp/en/index.html>

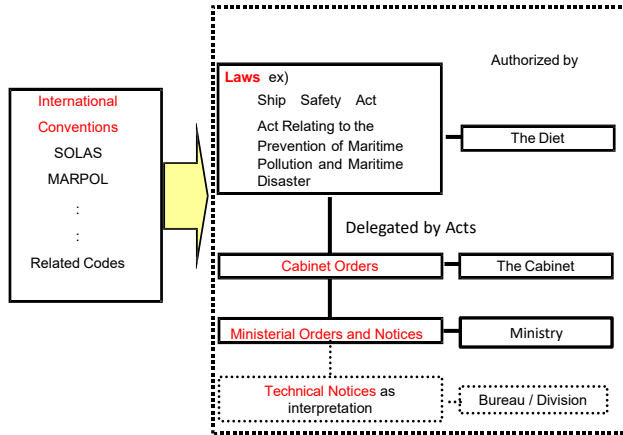
There are 14 Bureaus, 2 Director-General for policy planning, Director-General for international affairs and 4 Agencies in the MLIT Headquarters



Regional offices

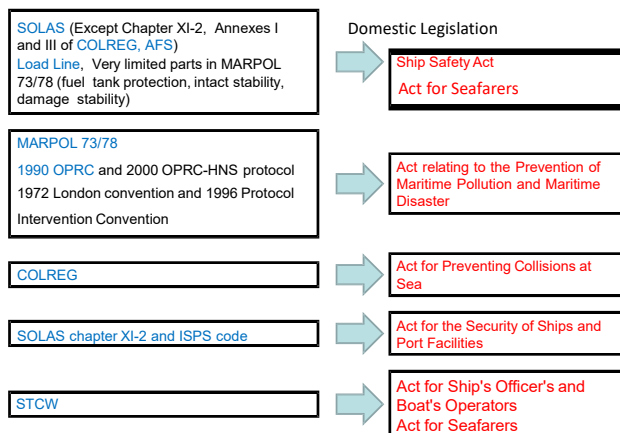


Domestic Legal System and International Conventions



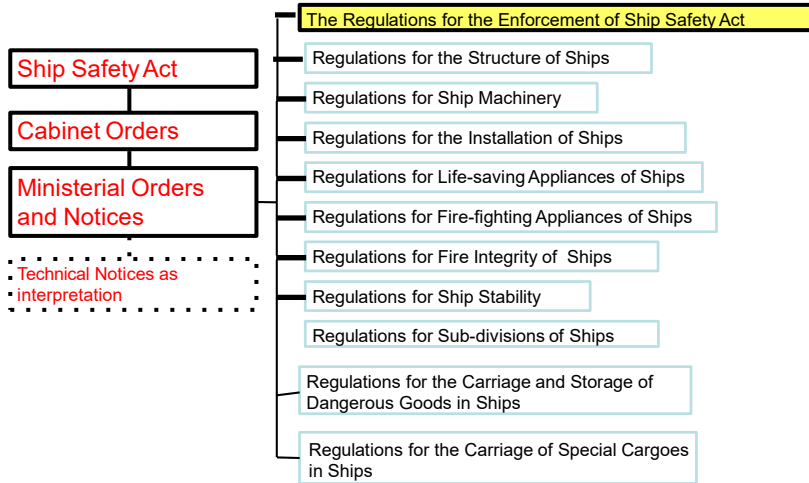
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IMO regulations and National Laws

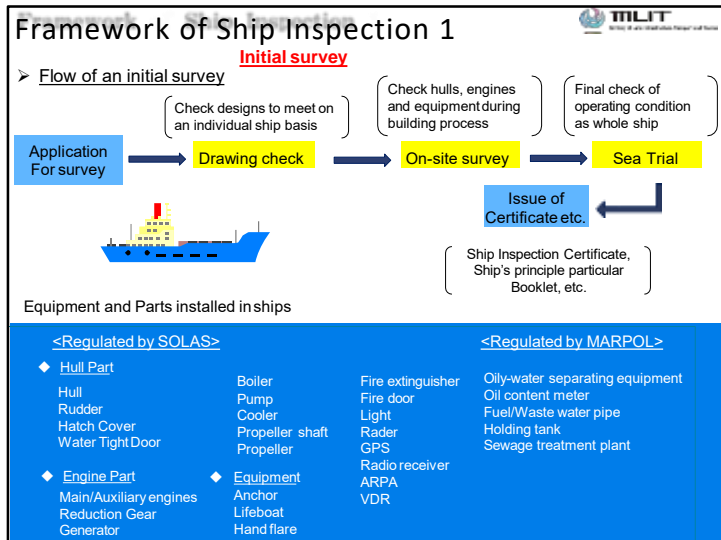


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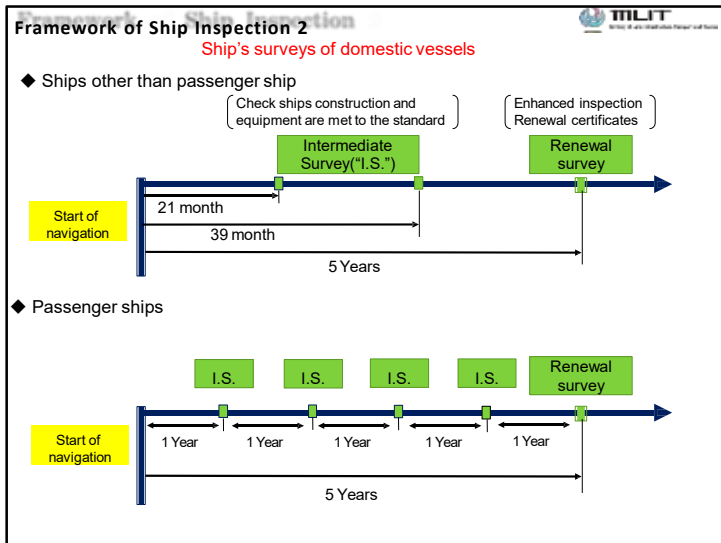
Regulations under Ship Safety Act



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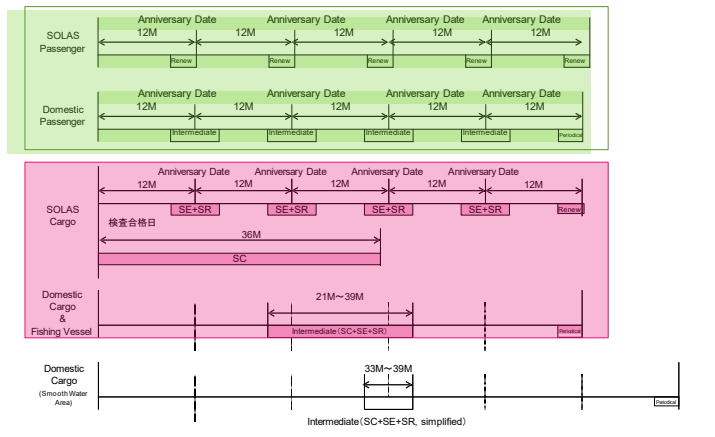


Inspection System

Comparison table of Inspections

Year	(SOLAS Chap.I, Part.B, Reg.7-10)				Domestic vessels (Ship Safety Act)		
	PS	SC	SE	SR	Passenger	Cargo & Fishing	Cargo (SW Area)
0	Initial	Initial	Initial	Initial	Initial	Initial	Initial
1	Renewal	Annual	Annual	Periodical	Intermediate	-	-
2	Renewal	Annual or Intermediate	Annual or Periodical	Periodical	Intermediate (normal or special)	Intermediate	-
3	Renewal	Annual or Intermediate	Annual or Periodical	Periodical	Intermediate (normal or special)		Intermediate (simplified)
4	Renewal	Annual	Annual	Periodical	Intermediate	-	-
5	Renewal	Renewal	Renewal	Renewal	Periodical	Periodical	-
6	X	X	X	X	X	X	Periodical

Survey interval



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Delegation of authority

- List of **Recognized Organizations**
 - Class NK, LR, DNV, ABS
- ROs are registered pursuant to the provisions in:
 - **Ship Safety Act**
 - **Act Relating to the Prevention of Marine and Air pollution and Maritime Disasters**
- The qualification requirements are provided by the regulations under relevant acts.
- The ships, **other than passenger ships**, which have undergone inspections with the valid certificates issued by the ROs, are deemed to have passed the government inspection.
- The scope of the delegation is posted at GISIS: <https://gisis.imo.org/Public/>
- **Annual audits** to the RO and **on-sight visits to the ships** holding the class are carried out.
- Class Rules – Which are produced by the class, but in consultation with the flag State.

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(4) Element of III Code –

② Part 2: Flag States

- 28 The flag State should (shall) define and document the responsibilities, authority ... who manage, perform and verify work relating to and affecting safety and pollution prevention.
- 29~31 Personnel responsible for surveys, inspections and audits on ships and companies... should have as a minimum;
- appropriate qualifications from a marine institution and relevant seagoing experience ; or
 - a degree from a tertiary institution ...of engineering ; or
 - accreditation as a surveyor through a formalized training programme
- 32 In addition, ...such personnel should have appropriate practical and theoretical knowledge of ships...through documented training programmes.

33

(4) Element of III Code –

② Part 2: Flag States

- 33 Have other personnel assisting the performance: education and training
- 34 Provide appropriate field training
- 35 Implement a documented system for qualification of personnel
- 36 Depending on the functions...qualification includes knowledge and competency for personnel
- 37 Issue Identification document for the surveyor

34

(4) Element of III Code –
② Part 2: Flag States

Flag State investigations

38 Marine safety investigations should (shall) be conducted by impartial and objective investigators, who are suitably qualified and knowledgeable in matters relating to the casualty.

39 The flag State is recommended to ensure that individual investigators have working knowledge and practical experience in those subject areas pertaining to their normal duties.

35

(4) Element of III Code –
② Part 2: Flag States

Evaluation and review

42 A flag State should (shall), on a periodic basis, evaluate its performance ...to meet its obligations

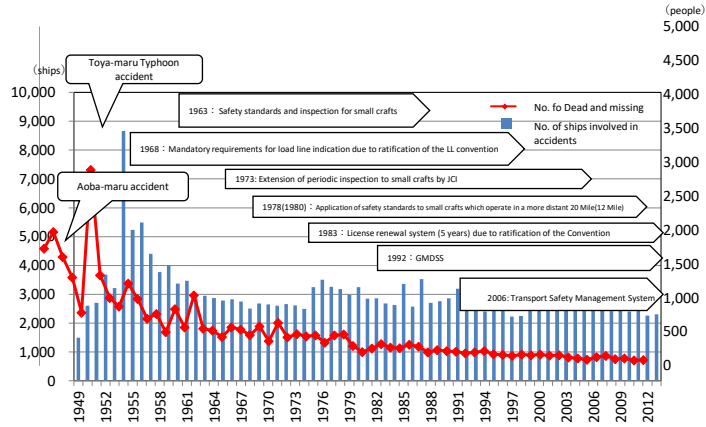
43 Measures to evaluate the performance;

- port State control detention rates
- flag State inspection results
- casualty statistics,
- communication and information processes,
- annual loss statistics...

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Long term trends of marine accidents

MLIT



changes in number of ship accidents and number of deceased / missing people

Data Source: Japan Coast Guard

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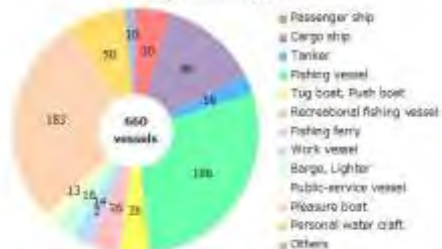
Japan Transport Safety Board (JTBSB)

https://www.mlit.go.jp/jtbs/statistics_mar.html#p01

Number of Marine Accidents in 2022
as of September 30, 2022

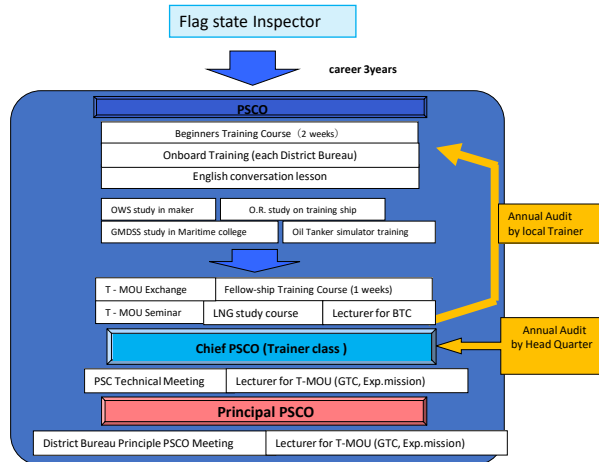


Number of Vessels Involved in Marine Accidents in 2022
as of September 30, 2022



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PSCO Training Summary in Japan



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Summary of each Training

Beginners Training Course (2 week)

Lecture of PSC procedure and each Conventions
 Technical visit to Training ship
 Case study (Group discussion)
 Simulated PSC inspection

Fellow-ship Training Course (1 week)

Lecture of special treatment ships
 (Oil / Chemical Tanker, Gas Carrier, Passenger ship)
 Lecture of Operational Requirement

Training in Maritime College

GMDSS, Oil Tanker simulator (Bridge and Cargo ope.)

Tanker Familiarization Course (Maritime Disaster prevention Center)

Training of the fire fighting for tanker crew

OWS study in manufacturer

Taiko, Heishin

Joint OBT in each District Bureau

for Passenger ship, LNG carrier, others
 regarding the ship types of F-S training Course



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Tokyo MOU Annual Report 2021 (Extract)

Table 9: INSPECTIONS AND DETENTIONS PER FLAG

Flag	Number of inspections				Number of detentions				3-year rolling average detention %
	2019	2020	2021	Total	2019	2020	2021	Total	
Cambodia	1	2	0	3	1	0	0	1	33.33
Fiji	4	1	0	5	1	0	0	1	20.00
Japan	212	143	148	503	4	2	1	7	1.39
Kiribati	35	17	16	68	3	2	0	5	7.35
Mongolia	91	69	64	224	13	5	15	33	14.73
Palau	76	35	51	162	9	4	1	14	8.64
Singapore	2,131	1,388	1,590	5,109	24	17	15	56	1.10
Viet Nam	774	495	660	1,929	39	6	12	57	2.95
Total	31,372	19,416	22,730	73,518	983	493	526	2,002	2.72

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Tokyo MOU Annual Report 2021 (Extract)

Table 4: PORT STATE INSPECTIONS PER FLAG

Flag	No. of inspections	No. of inspections with deficiencies	No. of deficiencies	No. of detentions	Detention percentage %
Colombia	1	1	1	0	0
Japan	148	67	179	1	0.68
Kiribati	16	12	28	0	0
Mongolia	64	60	421	15	23.44
Palau	51	48	202	1	1.96
Singapore	1,590	613	1,785	15	0.94
Viet Nam	660	558	1,558	12	1.82
Total	22,730	11,567	39,838	526	Regional 2.31

42

(4) Element of III Code –

③ Part 3: Coastal States

45 Coastal States have certain **rights and obligations** under various international instruments. When exercising their rights... coastal States **incur additional obligations**

47 A coastal State should (shall) ensure that its **legislation**, guidance and procedures are established for the consistent implementation...

48 **Those rights, obligations and responsibilities may include**, inter alia:

- .1 radiocommunication services;
- .2 meteorological services and warnings;
- .3 search and rescue services;
- .4 hydrographic services;
- .5 ships' routing;
- .6 ship reporting systems;
- .7 vessel traffic services; and
- .8 aids to navigation.

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(4) Element of III Code –

④ Part 4: Port States

52 Port States have certain **rights and obligations** under various international instruments. When exercising their rights..., port States incur additional obligations

56 Those rights, obligations and responsibilities may include, inter alia:

- .1 provision of appropriate **reception facilities**;
- .2 **port State control**; and
- .3 keeping a register of **fuel oil suppliers**.

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Discussion 1

- a. What is the **most important responsibility** for a member State of IMO conventions ?
- b. Why the IMO Member State Audit Scheme is necessary ?

45

Discussion 2

- a. Would it be appropriate for the Recognized Organization (RO) to be permitted to issue Exemption Certificate for SOLAS convention without reference to the flag State administration?
- b. Should a RO be allowed to apply their own rules or IACS Unified Interpretations in stead of processes and interpretations adopted by the flag state?

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Discussion 3

- a. Would it be appropriate one Recognized Organization (RO) to conduct the audit and inspection programme required by section 16.2 of the III Code, on another RO appointed by the flag State?
- b. If not, who should be responsible for conducting the audit and inspection programme?
- c. What is the difference between the audit and inspection programme required by section 16.2 and the inspection programme required in section 22 of the III Code?

47

Discussion 4

- A) Noting the requirement for a monitoring programme under Section 23 of the III Code, what information sources do you think could be relied upon to provide the data that could assist in this process?
- B) Detention **need not necessarily be accepted as warranted** by the flag State. **The flag State has a right to appeal a detention** noting detentions have an impact on the performance of the flag State.
 - a. Under **what processes** may the flag State appeal?
 - b. **What reasons** might there be for making such an appeal?
 - c. **What benefits** may there be to appealing or seeking clarification about the reasons behind a detention?

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Discussion 5

- How do your states fulfill following;
 - .1 radiocommunication services;
 - .2 meteorological services and warnings;
 - .3 search and rescue services;
 - .4 hydrographic services;
 - .5 ships' routing;
 - .6 ship reporting systems;
 - .7 vessel traffic services; and
 - .8 aids to navigation.

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Discussion 6;

- ② Non-convention ships;
 - Many island states rely on marine transport within the state and with its regional neighbors.
 - However, this leaves the flag State in a position of having to determine what standards of survey and certification should be applied to such vessels.
 - This is not a simple process as a standard has to be produced and applied.
 - In many cases the flag State cannot rely on Class to assist.
 - The flag is still responsible for safety of these vessels under the requirements of the III Code. What options are there?

50

Thank you for your kind corporation !

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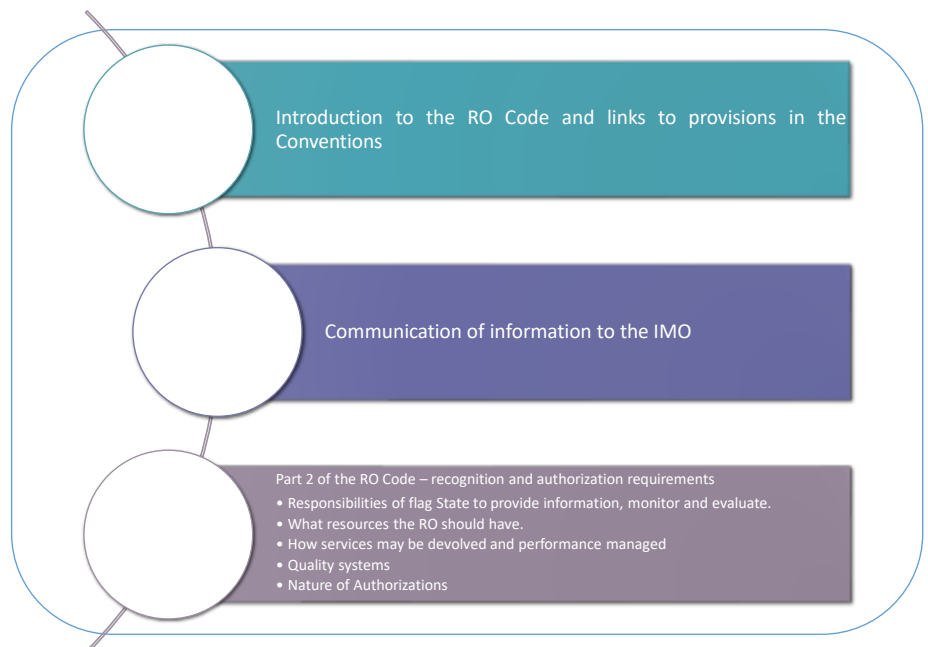
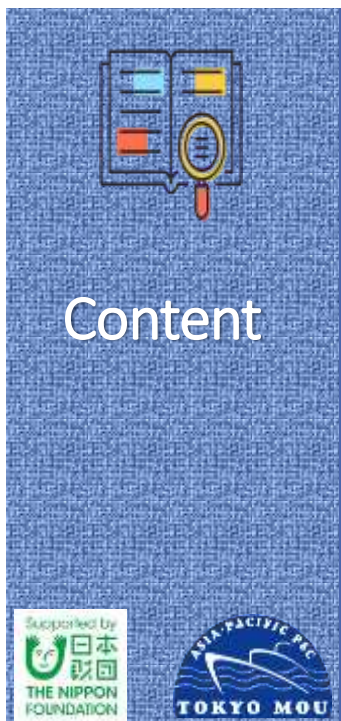
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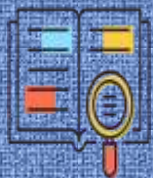
TOKYO MOU FLAG PERFORMANCE IMPROVEMENT SEMINAR

RO CODE AND RO AGREEMENTS



CHEN Kit Jam
MPA, Singapore





Content

Part 3 – Oversight of Recognized Organizations

- Oversight programme
- Auditing

Model RO Agreement



Reference Sources

In addition to this presentation, your training material contains the following reference material:

The United Nations Convention of the Law of the Sea (UNCLOS)

The International Maritime Organization (IMO) Instruments Implementation Code (III Code)

Resolution MSC.349(92) Code for Recognized Organizations (RO Code)

The IMO Model Agreement for the Authorisation of Recognized Organizations acting on behalf of the flag State



FLAG STATE RESPONSIBILITIES (UNCLOS)



Article 94 of the United Nations Convention on the Law of the Sea (UNCLOS) sets out the duties of the flag State

It states that every State shall:

- effectively exercise its jurisdiction and control in administrative, technical and social matters over ships flying its flag
- maintain a register of ships and assume jurisdiction under its internal law over each ship flying its flag
- take such measures for ships flying its flag as are necessary to ensure safety at sea

And in doing so conform to generally accepted international regulations, procedures and practices

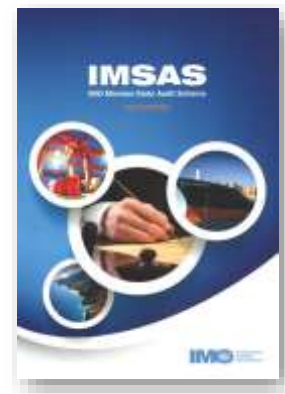
FLAG STATE RESPONSIBILITIES - (III Code RECAP)



III Code provides a unified international standard for the operation of maritime functions by IMO member states, with the expectation that these will be implemented in a consistent and effective manner.

The III Code forms the basis of the mandatory IMO Member State Audit Scheme with members subjected to audits every seven years. The IMSAS was adopted through amendments to relevant conventions.

The III Code places very clear expectations on flag states. These mirror many of the expectations placed on member states of the Tokyo MOU regarding evaluating performance of administrative processes, procedures and resources



FLAG STATE RESPONSIBILITIES - (III Code RECAP)



Part 2 of the III Code - the largest section and it describes the responsibilities and obligations of the flag State in detail and is divided into six sections:

- Implementation
- Delegation of Authority (i.e. appointment of RO's)
- Enforcement
- Flag State surveyors
- Flag State investigations
- Evaluation and review

Section 2 of the Code was not covered in the lecture covering the III Code and will be addressed in this presentation in conjunction with the RO Code.

FLAG STATE RESPONSIBILITIES (III Code)



Part 2 - Sections 18 - 21 of the III Code addresses how a State's authority may be delegated.

- *With regard to ships entitled to fly its flag, a flag State authorizing a recognized organization to act on its behalf, in conducting the surveys, inspections and audits, issuing or certificates and documents, marking of ships and other statutory work required under the conventions ... should regulate such authorization(s) in accordance with the applicable requirements of the international mandatory instruments ...*



FLAG STATE RESPONSIBILITIES (III Code)



RO must have adequate resources

Must have a formal agreement between Administration and RO

Flag State must issue specific instructions detailing actions to be followed in the event a ship is found unfit to proceed.

Flag State must provide ROs with appropriate instruments of national law

RO must maintain records

Flag State must participate in oversight program, with adequate resources to ensure compliance with international requirements

Flag State nominating surveyor(s) to carry out surveys, audits and inspections on its behalf should regulate such nominations to ensure compliance with paragraph 18 [of the III Code].

RO Code (INTRODUCTION)



Code for Recognized Organizations (RO Code)

Adopted on 21 June 2013 and came into effect on 1 January 2015.

Gathers together all the applicable requirements for recognized organizations in a single Code to assist in achieving harmonized and consistent global implementation of requirements established by IMO instruments for the assessment and authorization of recognized organizations.

Purpose of Code is to serve as the international standard and consolidated instrument containing minimum criteria against which recognised organizations are assessed for recognition and authorization and the guidelines for the oversight by flag States.

RO Code (SCOPE)



The Code applies to:

- All organizations being considered for recognition or that are recognized by a flag State to perform, on its behalf, statutory certification and services under mandatory IMO instruments and national legislation; and
- All flag States that intend to recognize an organization to perform, on their behalf, statutory certification and services under mandatory IMO instruments.



The Code establishes:

- Mandatory requirements that an organization shall fulfil to be recognized by a flag State
- Mandatory requirements an RO shall fulfil when performing statutory certification and services on behalf of its authorizing flag States (part 2)
- Mandatory requirements that flag States shall adhere to when authorizing an RO (part 2)
- Guidelines for flag State oversight of ROs (part 3)

RO Code (STRUCTURE)

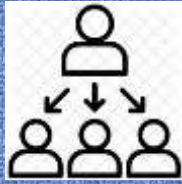


The RO Code consists of three parts:

Part 1 – General provisions

Part 2 – Mandatory provisions for the flag State and RO as already contained in relevant IMO instruments and applicable international standards

Part 3 – Guidelines for the oversight of ROs by flag States



RO Code (Part 1)



Delegation of Authority

A flag State may delegate authority to an organization that is recognized as complying with the provisions of the Code to perform, on its behalf, statutory certification and services under the mandatory IMO instruments and its national legislation.

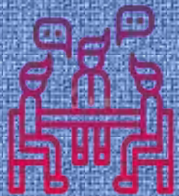
- This means an RO can only do 'things' permitted by national legislation.

The flag State must not authorize functions beyond the RO's capabilities.

- When appointing an RO the flag must be satisfied they can do the work.

Flag States should cooperate with each other to ensure the ROs they delegate authority to, adhere to the Code.

- To implement this, the flag must have a process of assessing the RO's performance.



RO Code (Part 1)



Communication of Information



The Code requires that flag State shall communicate to, and deposit with, the Secretary-General of IMO a list of ROs for circulation to interested parties for information of their officers, and a notification of the specific responsibilities and conditions of the authority delegated to ROs.

In short, if a flag State appoints an RO, the flag State must advise the IMO of the appointment and the scope of the delegation

This allows port and coastal States to verify if a recognized organization is authorised to act on behalf of the flag State and to what extent.



RO Code (Part 2)

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General Requirements – what are the general requirements for ROs?



Delegation of authority by a flag State to an RO must be subject to confirmation of their capability to demonstrate their ability to deliver high standards of service and compliance with requirements of the Code and applicable national legislation

The RO will establish, publish and maintain its rules and regulations for the design construction and certification of ships

The RO must ensure that no conflicts of interest exist and maintain their independence of judgement and integrity.

Personnel of ROs must remain impartial and ensure that procedures are in place to prevent external parties influencing the results of services being delivered.

Potential customers shall have access to services without undue financial or other considerations. Procedures should be administered in a non-discriminatory manner.



RO Code (Part 2)

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General Requirements – Continued ...



RO must be governed by principles of ethical behaviour, contained in a Code of Ethics.

RO must perform services using competent surveyors and auditors who are duly qualified, trained and authorized to execute their duties and activities.

RO must define and document responsibilities, authorities, qualifications and interrelation of personnel whose work affects the quality of its services.

RO must operate in a transparent manner, in relation to access to or disclosure of information, in connection with statutory certification and services carried out on behalf of the flag State.

RO Code (Part 2)



Management and Organisation



Under the Management and Organization requirements, the RO must develop and implement a quality management system and continually improve its effectiveness. The Quality Management System (QMS) must include:

- Quality, safety and pollution prevention policy
- A series of documents as defined in the Code
- Establishment and maintenance of a quality manual
- Control of documents required by the QMS
- Control of records as defined in the Code
- Effective planning
- The RO being of suitable size, structure, experience and capability to deliver the services required
- Appropriate processes to ensure communication within the organization regarding the effectiveness of the QMS and services – internal, with flag State, and between ROs
- Review of the QMS to ensure continuing suitability, adequacy and effectiveness

RO Code (Part 2)



Legal basis for Authorization of Recognised Organisation



Under the provisions of regulation I/6 of SOLAS 1974, article 13 of LL 66, regulation 6 of MARPOL Annex I and regulation 8 or MARPOL Annex II and article 6 of TONNAGE 69, a flag State may authorize an RO to act on its behalf in statutory certification and services and determination of tonnages for ships entitled to fly its flag.

The legal basis for this authorization should be considered in the context of the following:

- formal written agreement with the RO;
- acts, regulations and supplementary information;
- interpretations; and
- deviations and equivalent solutions.

RO Code (Part 2)



Scope of Authorization of Recognized Organizations



The scope of authorization granted to an RO is determined by the flag State. Specifications that need to be considered are:

1. Ship types and sizes;
2. Conventions and other instruments, including relevant national legislation;
3. Approval of drawings;
4. Approval of materials and equipment;
5. Surveys, audits, inspections;
6. Issuance, endorsement and/or renewal of certificates;
7. Corrective actions
8. Withdrawal or cancellation of certificates; and
9. Reporting requirements.



RO Code (Part 2)



Elements of the Recognised Organisation Agreement



The agreement with the recognized organisation (RO) must be a formal written agreement, or equivalent, between the flag State and the appointed RO. Appendix 3 of the RO Code provides details of the elements that should be included in an RO Agreement.

This appendix provides general elements only and a structure on which the agreement can be built.

The model agreement (discussed later in this presentation) is intended to put some of the 'flesh' on what an agreement should look like but this 'model' is likely to lack the specifics that would make it effective, clear and relevant to national legislation.

The model agreement is essentially a building block on which an agreement can be based.



RO Code (Part 3)

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Oversight of Recognized Organizations



The RO Code specifies the need for **Verification and monitoring** which requires the flag State to establish a system to ensure the adequacy of statutory certification and services provided by the RO. This includes a range of measures that should be catered for in the RO agreement.

- Procedures for communication with the RO;
- Procedures for reporting to the flag State by the RO and processing of these reports by the flag State;
- Additional ship's inspections by the flag State;
- Appropriate technical and/or safety related consultations between ROs regarding statutory certification and services, which may affect validity of certificates issued on behalf of the flag State (regular scheduled meeting);



RO Code (Part 3)

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Oversight of Recognized Organizations



- Flag State evaluation/acceptance of certification of the ROs Quality Management System by independent body of auditors;
- Monitoring and verification of statutory certification and services, which contribute to compliance with international requirements;
- For ships constructed without flag State involvement, the flag State must confirm that the RO conforms to this Code; and
- For ships constructed without an identified flag State, the flag State specific requirements should be verified prior to the issue of certificates.

RO Code
(P.O.A)

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ASIA/PACIFIC REC TOKYO MOU

Principles OF Auditing



The flag State should be satisfied that the RO has an effective Quality Management System in place. The flag State can rely upon audits carried out by an accredited certification body or equivalent. This would include systems such as the IACS QMS arrangements. **It should be noted that QMS would not necessarily cover national requirements.**

The Code specified qualities the flag State should encourage and form part of any audit. These are:

- Ethical conduct;
- Fair presentation;
- Due professional care;
- Independence; and
- Evidence-based approach.

RO Code
(QMSC)

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ASIA/PACIFIC REC TOKYO MOU

Quality Management System Certification



The RO Code requires that the RO must develop, implement and maintain an effective internal quality management system that complies with the Code and is at least as effective as internationally recognized quality standards in the ISO 9000 series.

The RO's QMS must also be periodically assessed and certified in accordance with the applicable international quality standards by a qualified body, accredited to comply with ISO/IEC 17021:2006 standard by an accreditation body that is a signatory to the International Accreditation Forum (IAF) Multinational Recognition Agreement (MRA).

RO Code (QMSC)

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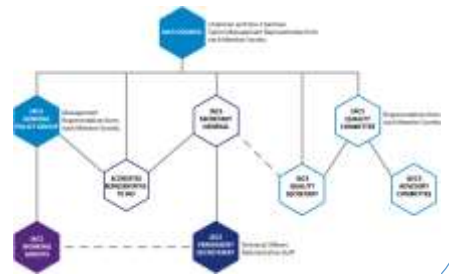


Quality Management System Certification



Singapore's ROs are all members of the International Association of Classification Societies, and therefore must comply with the IACS Quality System Certification Scheme (QSCS). This provides a level of assurance of compliance with quality standards.

IACS International Association of Classification Societies



RO Code (Model RO agreement)

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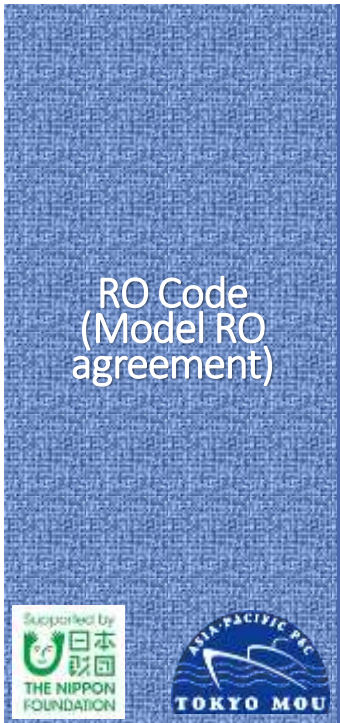
Model RO agreement - Introduction



The **Model Agreement** provides a structure that covers all elements included in appendix 3 of the RO Code. As part of the development of any agreement the flag State must specify the scope and extent of the delegated duties and authorities in their agreements with ROs based on the Appendix of the Model Agreement

The existing *Model Agreement for the Authorization of Recognized Organizations Acting on Behalf of the Administration* is contained in MSC.1/Circ.710. This model agreement is somewhat dated and is to be replaced.

The 5th session of the IMO Implementation of instruments (III) subcommittee agreed a revised '*Model Agreement for the Authorisation of Recognized Organizations acting on behalf of the flag State*' as Annex 13 to paper III-5/15. The draft has been proposed for adoption as an MSC-MEPC.5/Circular (included in your reference material)

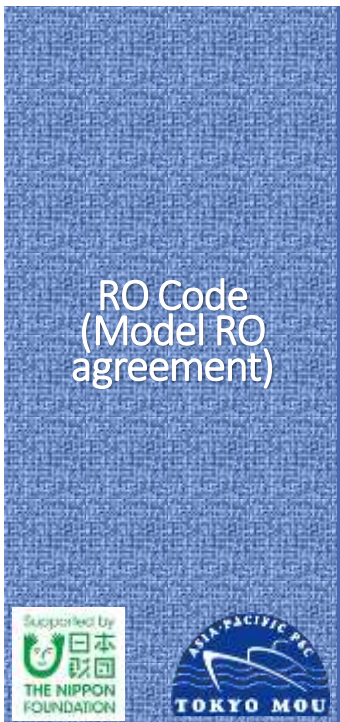


Model RO agreement – Structure and Content



It is recommended that model agreement contain ‘at least’ the following sections:

1. Application
2. Purpose
3. General conditions
4. The execution of functions under authorization
5. Legal basis of the functions under authorization
6. Reporting to the flag State
7. Development of rules and/or regulations – information
8. Other conditions
9. Specification of the authorization from the flag State to the organization (refer to Appendix)
10. The flag State’s supervision of duties delegated to the organization

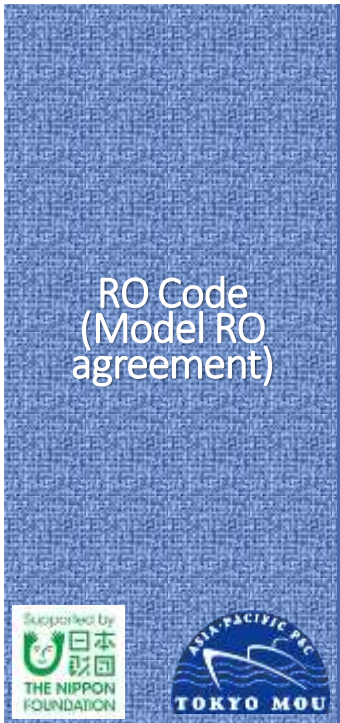


Model RO agreement – General Conditions



Section 2 of the model agreement specifies a number of general conditions intended to introduce the scope of the agreement and associated relationships. These introduce:

1. The relationship between ‘registered ships’ and/or ship management companies in respect of compliance with the applicable requirements of the international conventions, Codes and national legislation and the issue of relevant certificates and documents.
2. The obligation to for the RO to cooperate with port States to facilitate the rectification of reported deficiencies or other discrepancies.
3. The fact that flag State acceptance of services provided, and statutory certificates issued, by the RO is contingent that RO remains in compliance with the provisions of the RO Code.



Model RO agreement – Execution of functions



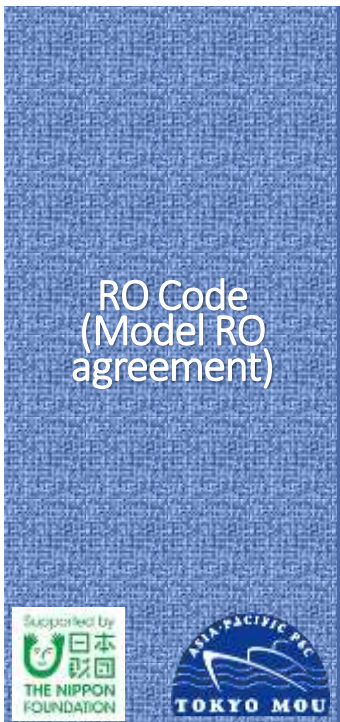
Section 3 of the RO Code introduced the limits of the execution of functions under the authorisation.

This covers the authorization of ROs to carry out statutory certification and services on behalf of the flag State and details requirements for the survey of ships. **Generally the specifics of authorisation will be in an annex to the agreement and detailed requirements may be in other instruments and procedures referred to in the agreement.**

Authorization for ROs and their agents, to take relevant control measures (either on their own initiative or at the behest of the flag) to ensure compliance with requirements.

Special Authorizations for services outside the scope of the agreement. **This allows novel, unusual or emerging issues to be addressed.**

The fact that the RO and its staff must not engage in any activities that may conflict with their independence of judgement and integrity. **By way of example ... the RO staff could not be employed as the designer of a company for which it will provide certification services.**



Model RO agreement – Reporting



Reporting to the flag State

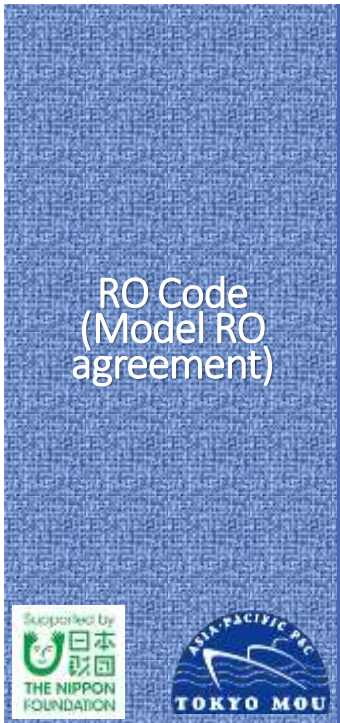
The RO must establish procedures for reporting to the flag State under authorizations, in accordance with the requirements of the RO Code and any additional requirements of the flag State.

The RO must establish procedures for reporting to the flag State for special authorizations, in accordance with the requirements of the RO Code and any additional requirements of the flag State.

The RO must report on the classification of ships, and any subsequent changes, to the flag State.

Report to the flag State cases where a ship did not remain fit to proceed to sea without danger to the ship or persons on board, or presenting threat of harm to the environment.

Comply with other reporting requirements.



Model RO agreement – Development of Rules and Regulations



Development of Rules and Regulations

The RO must allow participation by representatives of the flag State in the development and review of its rules, procedures and/or regulations, specifically in the review process prior to finalization.

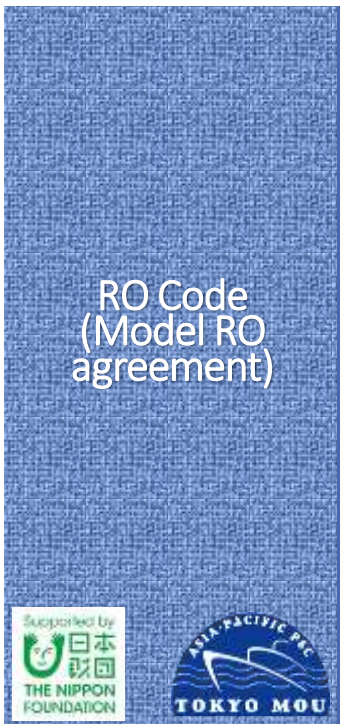
The flag State must provide the RO with all necessary documentation for the provision of statutory certification and services and notify the RO of any additions, deletions or revisions in advance of their effective date, and specify whether they go beyond convention requirements.

The flag State must be granted access upon request to all plans and documents, the issue of certificates was based.

The RO should provide free electronic access to latest editions of its rules and/or regulations applicable to ships under the scope of authorization.

The RO and flag State agree to cooperate and maintain an effective dialogue.

The RO shall establish and maintain its rules and/or regulations in English for the design, construction and certification of ships.

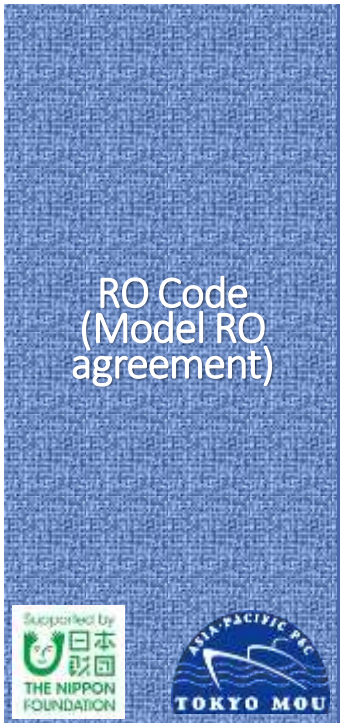


Model RO agreement – Other Conditions



Section 8 of the model agreement deals with **other conditions**. This generally covers the administrative elements of the agreement such as:

- Who pays for the RO's services.
- Confidentiality provisions.
- Liability and financial responsibility.
- Start date of the agreement.
- Conditions of termination of agreement.
- Conditions for breach of agreement, including notice in writing.
- Conditions for settlement of disputes
- Amendments to the agreement will become effective only after consultation and written agreement between the RO and the flag State.

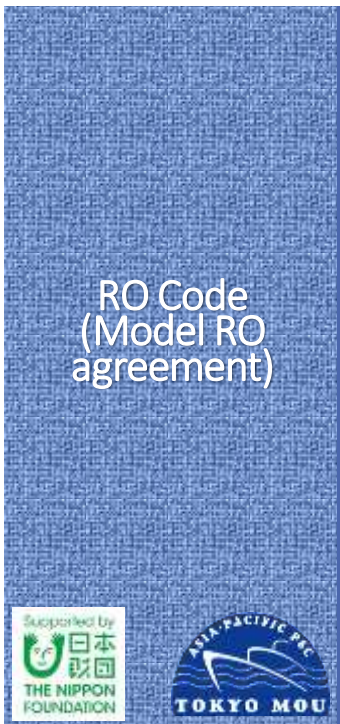


Model RO agreement – Supervision



Section 10 notes the flag State is entitled to establish and participate in RO oversight programme to satisfy itself that the RO is performing its services in compliance with the RO Code and the agreement:

- The flag State must have access to documentation of the QMS of the RO.
- The flag State must have access to internal instructions and guidelines of the RO.
- The flag State must have access to RO's documentation relevant to the flag's fleet.
- The RO must fully cooperate with the flag State's inspection and verification work.
- The RO must keep information and statistics on cases of damage and casualties of the flag's fleet.
- The RO must keep information and statistics of port State control detentions and deficiencies of ships that are the responsibility of the RO.



Model RO agreement – Australia RO Agreement



Australia's RO Agreement

Made in accordance with the *Australian Maritime Safety Authority Act 1990* and *IMO Instruments Implementation (III) Code*.

Has been prepared with reference to section 8 of Part II of the RO Code and in the format recommended by Appendix 3.



RO Code (Model RO agreement)



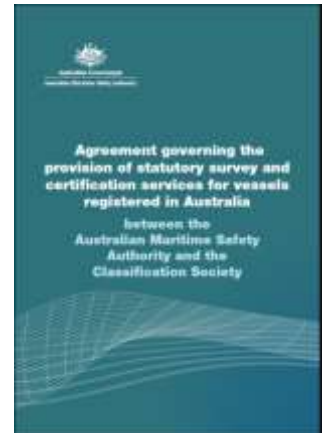
Model RO agreement – Workshop Exercise

The next session of this presentation looks at the Model agreement and compare this to the AMSA agreement and sections of agreements provided to the instructors.

While the AMSA agreement is clearly identified, the source of entries from other agreements will be de-identified.

There are no 'right' or 'wrong' answers, rather the discussion should focus on:

- How do the provisions in the agreements match up with the requirements of the III Code and RO Code?
- How do the provisions in the agreements match the recommendations of the Model Agreement?
- What are the areas for improvement?



END



Model RO agreement – Workshop Exercise





SOLUTIONS LEADING VIET NAM'S VESSEL FLEET GET OUT OF BLACK LIST

Presenter: Mr PHAN Nguyen Hai Ha
Position: Director of Safety and Security Department
Contact: hapnh@vinamarine.gov.vn

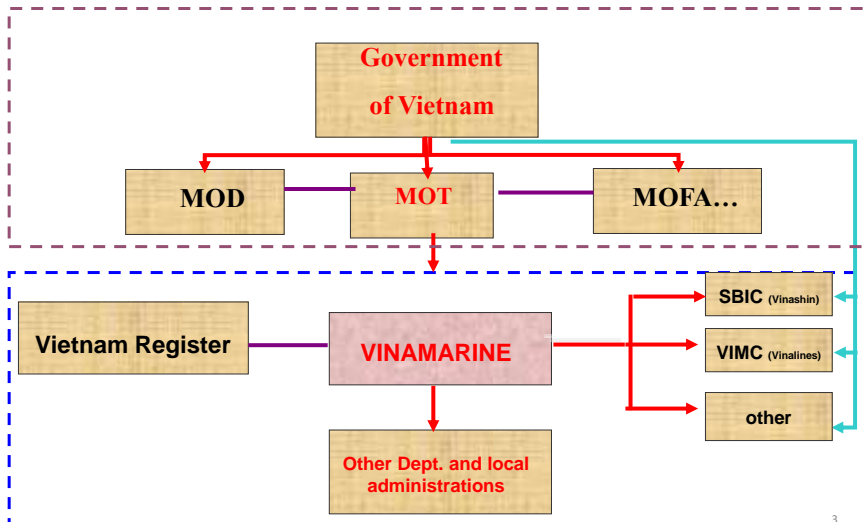
Da Nang, December 2022

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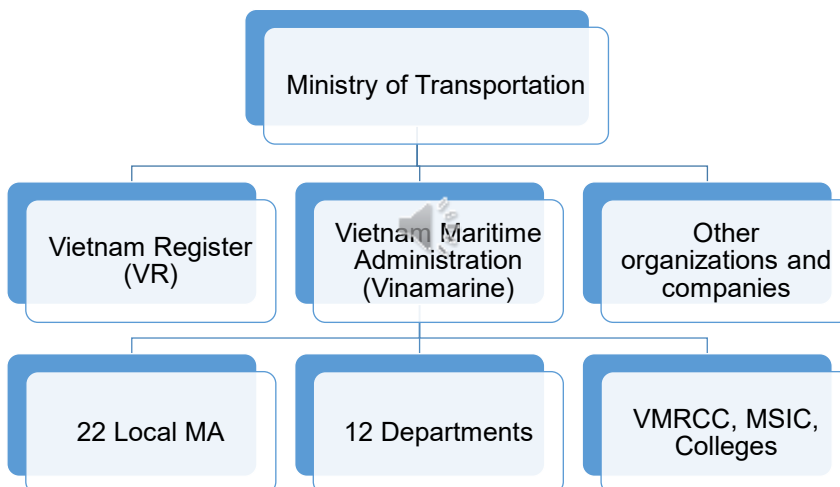
- 1. Organizational Structure**
- 2. Viet Nam Maritime Administration**
- 3. Viet Nam Register**
- 4. Viet Nam Maritime Industry**
 - 4.1 Viet Nam Seaport System**
 - 4.2 Viet Nam Merchant Fleet**
 - 4.3 Seafarer Training Facilities**
- 5. Overview Port State Control in Viet Nam**
- 6. Solutions that lead Viet Nam's fleet get out of Black list of Tokyo Mou**

1. Organizational Structure

Viet Nam Maritime Administration Framework



1. Organizational Structure





Viet Nam

Mainland Territory:

331.211,6 sq. km²

Population: 98.17 mil.

Capital: Hanoi

Climate: Tropics and monsoon.

Administrative Units:
63 provinces and cities

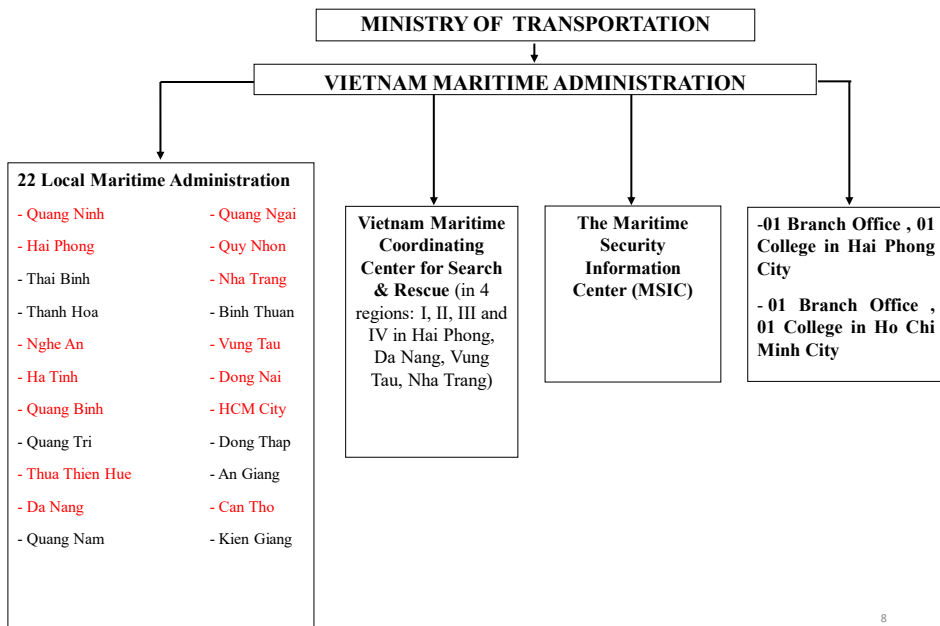
5

2. VIETNAM MARITIME ADMINISTRATION

Administrator : MR. NGUYEN DINH VIET
Deputy Administrator : MR. NGUYEN HOANG
Deputy Administrator : MR. HOANG HONG GIANG

1. Administrative Department (Office)
2. Personnel Department
3. Investment Plan Department
4. Finance Department
5. Legislation Department
6. **Maritime Safety & Security Department**
7. International Cooperation - IMO Department
8. Maritime Infrastructure Department
9. Vessels & Seafarers Register Department
10. Science Technology & Environment Department
11. Maritime Inspectorate
12. Maritime Transport & Services Department

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2. VIET NAM MARITIME ADMINISTRATION

- Viet Nam Maritime Administration (VINAMARINE) is an agency under the Ministry of Transportation, responds to all activities related to Maritime Transportation.

Vinamarine has responsibilities on:

- Maritime development strategies and maritime master plan;
- Shipping policies and regulations; rules of management/ legal norms;
- Managing maritime infrastructure projects on marine funded by overseas or domestics;
- Managing seaports system, maritime channels and transshipment area;
- Controlling over maritime services, maritime safety issues;
- Investigating and settle violations regarding shipping activities;

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Vinamarine also issued:

- Certificate of Register
- Declaration of Maritime Labour Compliance – Part I.
- Certificate of Insurance or other Financial Security in Respect of Civil Liability for Oil Pollution Damage.
- Certificate of Insurance or Other Financial Security in Respect of Civil Liability for Bunker Oil Pollution Damage
- Seaman's book
- Certificate of competency (issued under STCW 1978, as amended in 2010)
- Certificate of Endorsement attesting the recognition of the certificate of competency.
- Certificate of instructor
- Certificate of proficiency in basic training.
- Certificate of proficiency in special training.
- Certificate of proficiency in professional training.

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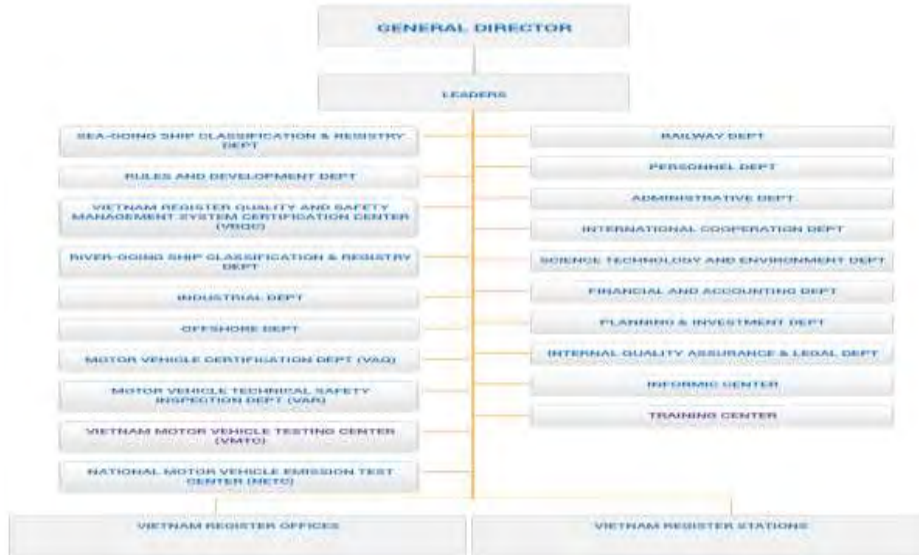
3. VIETNAM REGISTER

General Director: MR. DANG VIET HA

Deputy Director : MR. NGUYEN VU HAI

Deputy Director : MR. NGUYEN TO AN

Deputy Director : MR. PHAM MINH THANH



VIETNAM REGISTER

- Vietnam Register is a non-profit State Body having functions and jurisdictions on the organization and performance of technical supervision and certification for Quality and Safety of means of transport including water-craft offshore installations, roadway and railway motor vehicles and industrial products. VRs services are for promotion of safety of life, property and protection of the environment from pollution.

- *VR is also a ship classification Society*

Within its network through out the country, there are 26 sub-offices providing ship and offshore classification and certification activities, including industrial certification service, 18 motor vehicle inspection stations and 87 other motor vehicle inspection stations of provincial transport authorities under its professional management. VR has about 1040 employees, including more than 965 employees holding diploma degree and 77 post graduates.

- Vietnam Register provides services in four areas: Technical supervision and certification for water-craft, including sea-going ships and river-going ships; offshore installations including fixed and mobile installations, floating storage tankers, sub-sea pipelines and refineries, road and rail motor vehicles, and industrial products including materials, components and equipment intended for above mentioned means and structures. Since 2001, VR has got involved with the safety and quality management system certification.

4. VIET NAM MARITIME INDUSTRY

4.1. Vietnam Seaport System

- COASTLINE LENGTH: 3,260 KM FROM THE NORTH TO THE SOUTH.
- ABOUT 34 Seaports (02 Special Seaports, 11 Seaport Class 1, 07 Seaports Class 2, 14 Seaports Class 3) and over 320 Terminals
- TOTAL LENGTH OF PORTS/TERMINALS: ~90.7 KM
- CARGO THROUGH PORT : ~ 700 mil.T/year and 16 mil TEU/year
- PORT OF CALL: ~ 60.000 Domestic vessels and ~50.000 Foreign vessels
- MAJOR PORT: Quangninh, Haiphong, Danang, Quynhon, Vungtau, Hochiminh

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4.2. Vietnam National Merchant Fleet

- NUMBER OF VESSEL: 1.563 (39 Container Ship, 625 General Cargo, 187 Chemical/ Tanker, 109 Bulk carrier, 64 Passenger, 19 LPG and 520 others)
- TOTAL GROSS TONNAGE: ~ 4.8 mil GT
- TOTAL DEADWEIGHT: ~ 12.7 mil DWT
- AVERAGE AGE: 16.9
- SHIP OWNER: ~580

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4.3. Seafarer Training Facilities

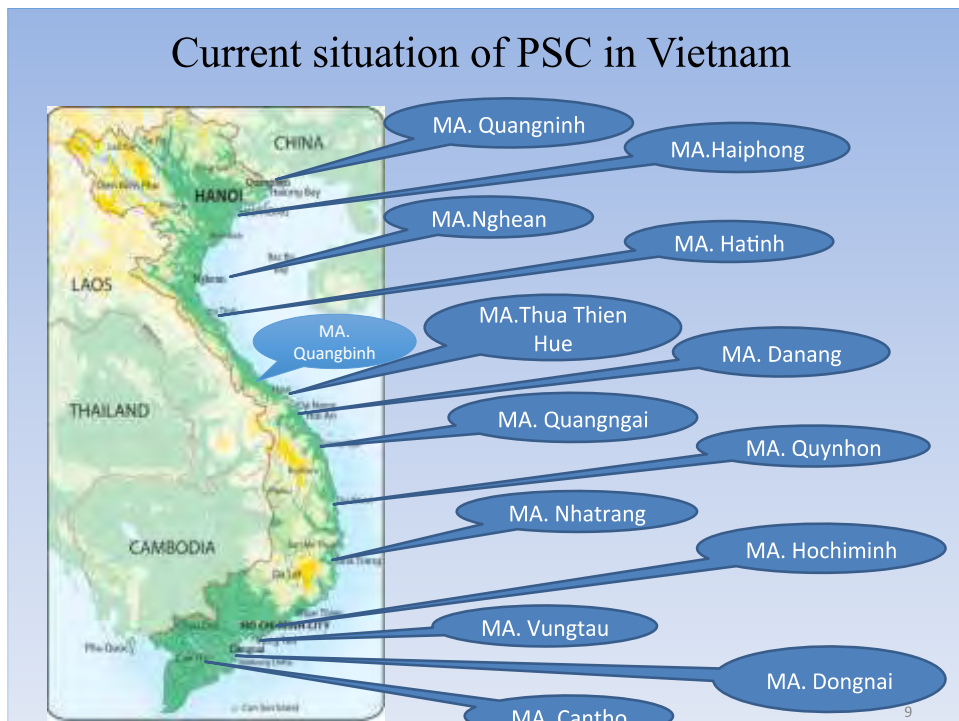
- There are 07 seafarer training facilities:
 - Viet Nam Maritime University
 - Ho Chi Minh City Transportation University
 - College No. 1 in Hai Phong
 - College No. 2 in Ho Chi Minh city
 - Bach Nghe Marine College in Hai Phong City.
 - College of Waterway Transport II.
 - Duyen Hai College
- Number of Vietnam Seafarer: ~47.000

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5. OVERVIEW PSC IN VIET NAM

- On 01 Jan 1999, Viet Nam became member of Tokyo MOU, MOT assigned Vinamarine to implemented Port State Control since 1999.
- Maritime Safety and Security Department of VINAMARINE responds for Port State Control.
- At the first time, PSC implemented in 06 regions (Quang Ninh, Hai Phong, Vung Tau, Dong Nai, Ho Chi Minh, Can Tho)
- 1st Jan 2003, PSC activities were expanded to 3 other local MAs as Da Nang, Quy Nhon and Nha Trang.
- Soon after, these activities were conducted at 5 other local MAs including Nghe An (2007), Quang Ngai, Ha Tinh and Thua Thien Hue (2011), Quang Binh (2016).
- At the moment, we have total 14 regions to implement PSC.

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5.1. Regulation for port state control in vietnam

- IMO Resolution A.1155 (32) PROCEDURE FOR PORT STATE CONTROL, 2022
- Memorandum of Understanding On Port State Control in the Asia - Pacific Region
- International Conventions: SOLAS 1974, Load Lines 1966, Marpol, STCW 1978, TONNAGE 1969, COLREG 1972, AFS 2001, MLC 2006.
- PSC Manual of Tokyo MOU.
- Viet Nam Maritime Code, 2015.
- Circular No. 54/2013/TT-BGTVT dated 16/12/2013 of Minister of Transportation regulation on Port State Control Officer.
- Circular No. 33/2017/TT-BGTVT dated 28/9/2017 amending and supplementing some Articles of Circular No. 54/2013/TT-BGTVT.
- Circular No. 07/2018/TT-BGTVT dated 07/02/2018 of the Minister of Transportation regulating the inspection of ships.

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5.2. Quantities and Quality of PSCOs/ FSIOs

Local Maritime Administration	Flag State Inspection Officer	Port State Control Officer
Quang Ninh	2	12
Hai Phong	3	12
Thai Binh	2	0
Thanh Hoa	2	2
Nghe An	2	6
Ha Tinh	0	6
Quang Binh	2	3
Quang Tri	1	1
Thua Thien Hue	0	3
Da Nang	0	6
Quang Nam	3	0
Quy Nhon	1	3
Quang Ngai	2	3
Nha Trang	2	15
Binh Thuan	0	2
Dong Nai	5	5
Vung Tau	6	10
Ho Chi Minh city	0	13
An Giang	6	0
Can Tho	2	3
Dong Thap	5	0
Kien Giang	4	2
TOTAL	50	107

5.2. Quantities and Quality of PSCOs/ FSIOs

According to the guidelines in PSC Manual and the provisions of Circular No. 54/2013/TT-BGTVT and Circular No. 33/2017/TT-BGTVT , Vietnamese PSCOs have to meet of requirement of standards:

- Knowledge for Viet Nam Maritime regulations and Maritime International Convention;
- Navigation engineer or Maritime Engine engineer or Electricity – Radio vessel engineer or Naval Architecture engineer.
- Master of sea – going ship or Chief Engine or Suveyor or Official in Local Maritime Administration (has more than 07 years maritime safety experience)
- Above TOEIC 600 pts or IELTS 5.5 pts or TOEFL CBT 173 pts or TOEFL PBT 500 pts or TOEFL IBT 61 pts.

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5.3. Port State Inspection Statistics

Port State Inspection carried out by Viet Nam (from 01/01/10 – 31/12/2021)

Year	No. of Inspection (Initial)	No. of Inspection with deficiencies	No. of deficiencies	No. of detention	Detention percentage
2010	1028	735	3747	52	5.06
2011	1093	691	3269	36	3.29
2012	1290	759	3481	37	2.87
2013	1438	883	3709	21	1.46
2014	1397	942	3688	9	0.64
2015	1444	885	2955	8	0.55
2016	1532	831	2556	18	1.17
2017	1526	796	2345	7	0.46
2018	1537	747	1998	0	0
2019	1706	907	2317	5	0.29
2020	2113	1158	2637	6	0.28
2021	1792	833	1961	3	0.17

5.3. Port State Inspection Statistics

Port State Inspection per Vietnam's Flag (from 01/01/2000 – 31/12/2021)

Year	No. of Inspection (Initial)	No. of Inspection with deficiencies	No. of deficiencies	No. of detention	Detention percentage
2000	48	45	525	15	31.25
2001	99	92	1123	32	32.32
2002	98	95	993	19	19.39
2003	179	170	1550	37	20.67
2004	239	215	1935	37	15.48
2005	303	274	2453	56	18.48
2006	331	292	2474	40	12.08
2007	350	285	1832	28	8
2008	475	379	2482	58	12.21
2009	495	373	2194	37	7.47
2010	640	505	3409	55	8.59
2011	738	590	4008	91	12.33
2012	784	564	3207	53	6.76
2013	767	560	2958	47	6.13
2014	733	511	2310	26	3.55
2015	722	551	2005	20	2.77
2016	742	562	2398	30	4.04
2017	788	595	2426	28	3.55
2018	847	657	2596	25	2.95
2019	774	641	2729	39	5.04
2020	495	405	1224	6	1.21
2021	660	558	1558	12	1.82

5.3. Port State Inspection Statistics

Port State Inspections per Vietnam's Flag (from 01/01/2000 – 31/12/2021)

Ship type	No. of inspections	No. of inspections with deficiencies	No. of deficiencies	No. of detentions	Detention percentage
NLS tanker	1	0	0	0	0.00%
Combination carrier	14	10	89	1	7.14%
Oil tanker	926	555	2853	44	4.75%
Oil tanker/Chemical tanker (OILCHEM)	24	13	54	1	4.17%
Gas carrier	126	97	466	6	4.76%
Chemical tanker	262	141	620	7	2.67%
Bulk carrier	2465	1823	7753	102	4.14%
Container ship	433	398	2560	40	9.24%
Ro-Ro cargo	1	1	5	0	0.00%
General cargo/multipurpose	6647	5503	31874	548	8.24%
Ro-Ro passenger ship	2	2	54	2	100.00%
Heavy load	1	1	3	0	0.00%
Offshore supply	13	6	29	0	0.00%
Special purpose ship	1	0	0	0	0.00%
Tug	5	4	23	0	0.00%
Other special activities	416	398	2321	42	10.10%
TOTAL	11337	8952	48704	793	6.99%

5.3. Port State Inspection Statistics

Port State Inspections per Vietnam's Flag (from 01/01/2000 – 31/12/2021)

Authority	No. of inspections	No. of inspections with deficiencies	No. of deficiencies	No. of detentions	Detention percentage
Australia	88	64	551	14	15.91%
Canada	4	4	24	0	0.00%
Chile	1	0	0	0	0.00%
China	2150	2106	17117	412	19.16%
Fiji	1	1	3	1	100.00%
Hong Kong, China	231	229	1982	63	27.27%
Indonesia	1792	1384	5358	69	3.85%
Japan	421	391	3469	45	10.69%
Korea, Republic of	451	410	2509	67	14.86%
Malaysia	1616	1188	4442	15	0.93%
Marshall Islands	0	0	0	0	0.00%
New Zealand	2	1	5	0	0.00%
Panama	0	0	0	0	0.00%
Papua New Guinea	12	8	53	2	16.67%
Peru	1	0	0	0	0.00%
Philippines	2840	1805	5951	7	0.25%
Russian Federation	243	221	1531	21	8.64%
Singapore	562	517	3984	61	10.85%
Thailand	922	623	1725	16	1.74%
Vanuatu	0	0	0	0	0.00%
TOTAL	11337	8952	48704	793	6.99%

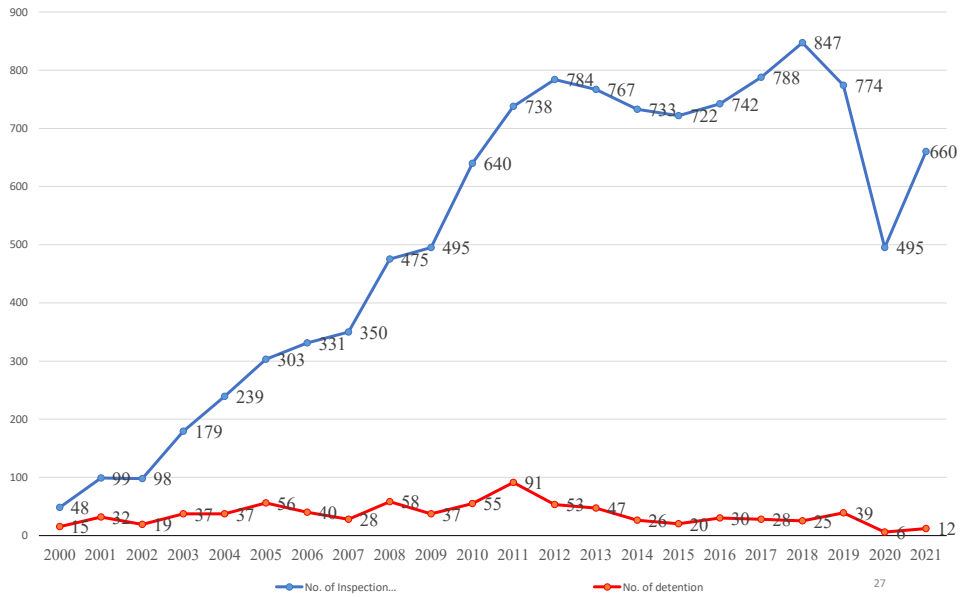
5.3. Port State Inspection Statistics

Port State Inspections per Vietnam's Flag (from 01/01/2000 – 31/12/2021)

Nature of deficiencies	No. of deficiencies	% of total
Certificate and Documentation - Ship Certificates	1139	2.34%
Certificate and Documentation - Crew Certificates	356	0.73%
Certificate and Documentation - Documents	3135	6.44%
Structural Conditions	1351	2.77%
Water/Weathertight conditions	3272	6.72%
Emergency Systems	2215	4.55%
Radio Communications	1664	3.42%
Cargo operations including equipment	230	0.47%
Fire safety	9254	19.00%
Alarms	264	0.54%
Living and Working Conditions - Living Conditions	530	1.09%
Living and Working Conditions - Working Conditions	2493	5.12%
Safety of Navigation	7998	16.42%
Life saving appliances	6300	12.94%
Dangerous goods	72	0.15%
Propulsion and auxiliary machinery	2015	4.14%
Pollution prevention - Marpol Annex I	977	2.01%
Pollution prevention - Marpol Annex II	10	0.02%
Pollution prevention - Marpol Annex III	19	0.04%
Pollution prevention - Marpol Annex IV	233	0.48%
Pollution prevention - Marpol Annex V	848	1.74%
Pollution prevention - Marpol Annex VI	309	0.63%
Pollution prevention - Anti Fouling	4	0.01%
Pollution prevention - Ballast Water	121	0.25%
ISM	1017	2.09%
ISPS	1231	2.53%
Labour Conditions-Minimum requirements for seafarers	20	0.04%
Labour Conditions-Conditions of employment	56	0.11%
Labour Conditions-Accommodation, recreational facilities, food and catering	495	1.02%
Labour Conditions-Health protection, medical care, social security	561	1.15%
Other	454	0.93%
TOTAL	48704	

5.3. Port State Inspection Statistics

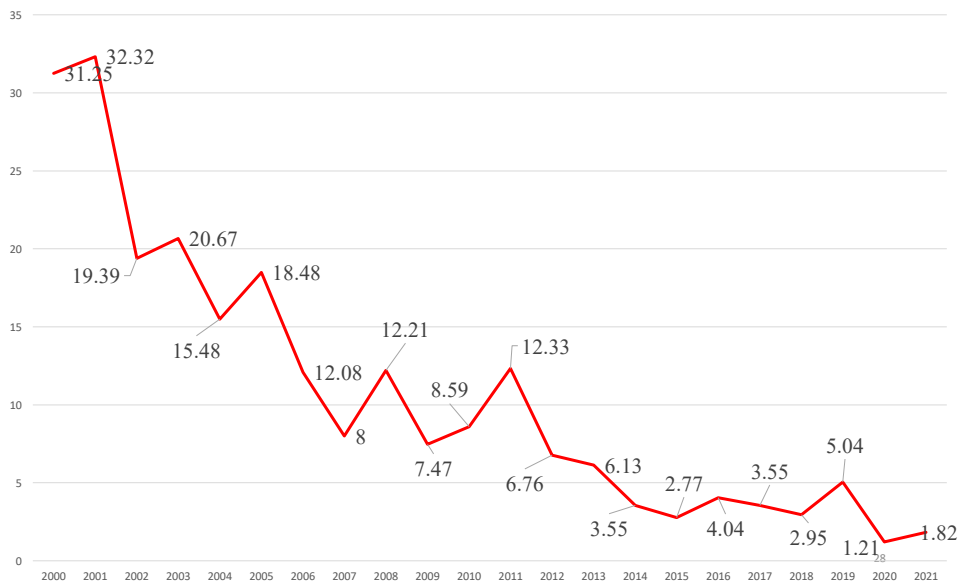
Port State Inspection per Vietnam's Flag (from 01/01/2000 – 31/12/2021)



5.3. Port State Inspection Statistics

Port State Inspection per Vietnam's Flag (from 01/01/2000 – 30/12/2021)

Detention percentage



5. OVERVIEW PSC IN VIET NAM

Port State Inspection per Vietnam's Flag

From 1999 to 2012, Viet Nam's fleet are always in Black List of Tokyo MOU, it's showing the ineffective performance of Viet Nam Maritime. In 2012, VINAMARINE proposed MOT the project "Leading Viet Nam' fleet out of Tokyo MOU's Black List". The project has been approved by MOT and MOT assigned VINAMARINE to implemented solutions.

After 02 years, in 2015, Viet Nam's fleet out of Black List and go in Tokyo MOU's White List.

In 2016, for purpose keep these success, VINAMARINE submitted MOT the project "Maintenance Vietnam's fleet in Tokyo MOU's Grey – White List" and MOT agreed with solutions in the project and assigned VINAMARINE implemented.

At the moment, VINAMARINE still implement the solutions and try our best to maintain Vietnam's fleet in Grey – White List of Tokyo MOU.

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6. SOLUTIONS LEADING VIET NAM'S FLEET GET OUT OF BLACK LIST OF TOKYO MOU



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MEASURES FOR INSPECTION VESSEL

Inspect strictly 100% Vietnam's vessel before leaving port

Do not allow the ship to leave port without rectifying deficiencies repair.

Analysis, handling responsibility of PSCO and Suveyor

To implement CIC

Establish Vietnamese vessels inspection software in order to settle a database on ship's technical situation.

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MEASURES FOR INSPECTION VESSEL

- To inspect all Vietnam vessel which has international voyage, especially the vessel intend to port where regular detain Vietnam vessel.
- Do not allow the ship to leave port without rectifying deficiencies repair.



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MEASURES FOR INSPECTION VESSEL

- Analysis, handling responsibility of PSCOs and Surveyors:

- When receiving information regarding to Viet Nam vessel detention, VINAMARINE have to find out information such as: which port departure her departure? Where carry out inspect before vessel departure? What did deficiencies find out?...

- When Vietnam vessel detention come back Vietnam port, Local Maritime Administration will send PSCO to go onboard and inspect vessel in order to find out the cause of Vietnam vessel detention and report to Headquarter of VINAMARINE.

- VINAMARINE cooperate with VR hold the meeting with the ship owner who has detention vessel, and find solutions to avoid situations which is able to detention vessel. If vessel have more than 02 times detentions, the ship-owner will be withdraw ISM Certificate and the vessel is not able to sail go to aboard.

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MEASURES FOR INSPECTION VESSEL

Implementation CIC: to held meeting regarding CIC each year and guide officers to inspect ship.

Besides, VINAMARINE cooperated with VR to chose topic and held CIC on the deficiencies which is always main cause to detain Vietnam's vessel



MEASURES FOR INSPECTION VESSEL

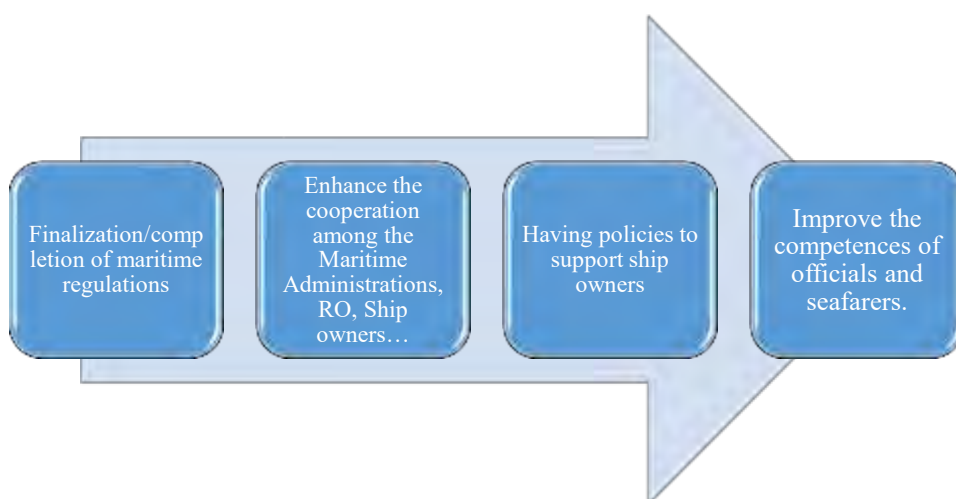
Establish Vietnamese vessels inspection software in order to settle a database on ship's technical situation.

To establish the software of Vietnamese's vessel inspection with function like on APCIS in order to kept the database of ship inspection, to enhance inspection effective.

The screenshot shows a web browser window with the URL 'intranet-hv.vietnam.vietnam.gov.vn/STT/trapection/Default.aspx'. The page title is 'KIỂM TRA TÀU BIỂN'. Below the title is a navigation menu with options like 'Trang chủ', 'Thống kê báo cáo', 'Danh sách', 'Thống kê', 'Liên hệ', 'Giới thiệu', and 'Trợ giúp'. The main content area displays a table with the following columns: Tên tàu, Mã hàng, Số seri, Loại tàu, Mã đăng, Công vụ, Ngày 01, Ngày cấp, Đơn vị, Hình ảnh, and Xếp hạng. The table contains five rows of data:

Tên tàu	Mã hàng	Số seri	Loại tàu	Mã đăng	Công vụ	Ngày 01	Ngày cấp	Đơn vị	Hình ảnh	Xếp hạng
TRƯỜNG THÁNH HẠ ALCI	2 M T E		H Tầu (khí hàng lỏng) tàu	2000	Công vụ Hàng Hải Chi Tiết	5/5/2012	14/5/2012			
THẠCH BÌNH HẠ	3 V A V	030422	H Tầu chở hàng rời	2000	Công vụ Hàng Hải Thanh Hóa	18/5/2012	23/5/2012			
HẢI AN BÈ	3 M P I I	000000	H Tầu chở hàng rời	2000	Công vụ Hàng Hải Hải Phòng	22/5/2012	23/5/2012			
TRƯỜNG XUÂN 34	2 M K D T		H Tầu (khí hàng lỏng) tàu	2000	Công vụ Hàng Hải An Giang	1/6/2012	12/6/2012			
TRƯỜNG ĐÔNG HẠ	3 V Q T	050000	H Tầu chở hàng lỏng tàu	2000	Công vụ Hàng Hải Thanh Hóa	6/6/2012	12/6/2012			
KTN FISHERIA	20100	000000	Tàu đánh cá/hoa tiêu	100T	Công vụ Hàng Hải TP. Hồ Chí Minh	11/6/2012	12/6/2012			

POLICY MEASURES



POLICY MEASURES

Enhance the cooperation among the Maritime Administrations, RO, Ship owners...

- To enhance the international cooperation with another members of Tokyo MOU.
- To sign regulation coordination between VINAMARINE and VR; every six months, we held conference to assess effects of ensure maritime safety including vessel inspection.



POLICY MEASURES

Having policies to support ship owners

- to facilitate maintenance ship-owner's fleet and carry out seriously ISM code that ship-owners developed and approved;
- to supply seafarers resource.



POLICY MEASURES

Improve the competences of officials and seafarers.

- To hold the meeting to propagate and disseminate the maritime instruments, the new provisions of the Convention relating to maritime safety, security and prevention pollution for ship-owners, training institutions and providing seafarers organizations;



POLICY MEASURES

Improve the competences of officials and seafarers.

- To instruct and train Flag State Inspection Officers and Port State Control Officers. The training courses to be held in Viet Nam which supports by Tokyo MOU and/or Vinamarine will send officers to go to aboard to join in training courses or seminars which to be held by Tokyo MOU, Paris MOU ...



POLICY MEASURES

Viet Nam Register (VR)

- Improving the quality of the ship certificate issue;
- Improving the quality of implementation ISM;
- Improving the quality of oversight and ship repair;
- to train and instruct to improve surveyor;
- Evaluate/ Assessment the quality of shipyards;
- to withdraw the ISM certificate and reassessment for those ships and companies that have often vessels detention;
- Strengthen oversight duty performance and strictly handle violations;
- International cooperation.
- to disseminate new regulations for ship-owners, shipyards.

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POLICY MEASURES

TRAINING INSTITUTES

- to improve the quality of training crew;
- to upgraded training facilities to meet the requirements;
- to review and update education program.

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Thanks for your attention



Ship Standard Bureau Implementation of IMO Instruments

Mr. Surachet
Dejkajornrittha
Ship Surveyor

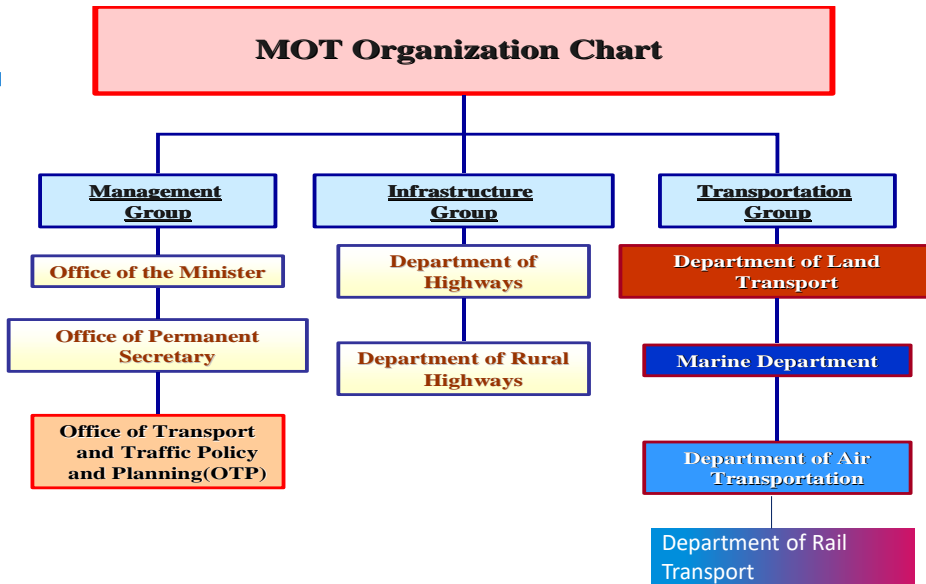
7 December 2022



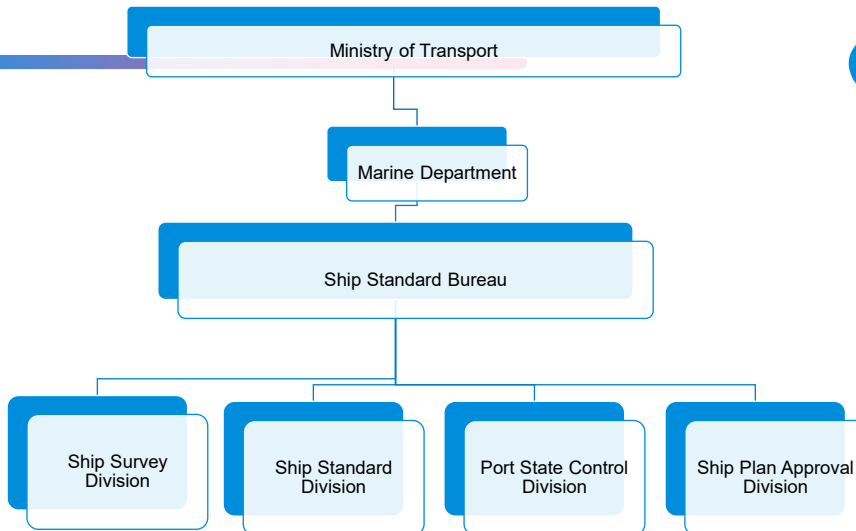
Out line

Ship Standard Bureau Implementation of IMO Instruments

1. SSB Organization Chart
2. Review of policies for the implementation and enforcement of SOLAS 1974
3. Review of policies for the implementation and enforcement of MARPOL
4. Review of policies for the implementation and enforcement of COLREG 1972, TONNAGE 1969 and Load Lines 1966
5. Implementation of Survey, Policies for Flag State Inspections and Surveys
6. Introduction to RO and implementation
7. Implementation of ISM Code in Thailand
8. Measurement for Thailand blacklisted vessels
9. Corrective Measure of Thai Flagged Ships under Black List



1. SSB Organization Chart



MD Duties

- Enforce the vessel in the domestic transportation to strict to the law
- Cooperate with other organization and take part in international convention
- Regulate, Control and facilitate the safety in water domestic transportation and quality of water
- Pilotage activities
- Ship registration



Maritime Laws dealing with safety in Thailand

- The Navigation in Thai Waters Act B.E. 2456 (1913) as amended
- The Prevention of Vessel Collision Act B.E. 2522 (1979)
- Thai Vessel Act B.E. 2526 (1983)
- The Carriage of Goods by Sea Act B.E. 2534 (1991)
- Rules & Regulations for ship Survey



Rule for Survey Ship No. 15

- implementation of SOLAS upon Thai Territory.
- mentioned about Delegation of Authorities to Recognized Organization
- Detailed requirements and clarification on Plan Approval, Structures, Engine, Electrical installation, life saving appliances, lifeboat, safety equipment and fire protection, detection and extinguishing equipment
- Tonnage measurements
- The STCW Convention under Part G of this Rule, revised by Rule No. 25 etc..



- **Rule for Survey Ship No. 19** is mainly concerned with Passenger ship navigating in inland waterways (Rivers and canals). It regulates the safety equipment and sanitary system for passenger ship depending upon size and type of passenger ship.
- **Rule for Survey Ship No. 20** is the application of Load Line Convention for Thai ships.
- **Rule for Survey Ship No. 25** is the implementation of the STCW 78 as amended in 1995 & 2010
- **Rule for Survey Ship No. 34** is the implementation of the MARPOL 73/78.



Maritime Laws dealing with Environments

- The Navigation in Thai Waters Act B.E. 2456 (1913) as amended
- The Carriage of Goods by Sea Act B.E. 2534
- Rules for ship Survey No. 34



Regional Cooperation

- Signed Memorandum at Tokyo on 1 December 1993
- Accepted the Memorandum on 1 May 1996
- Established Enforcement Body on 11 October 1996
- **Black list** from 2002-2012 (10 years in Black list)
- Upgrade to became **gray list** in 2013
- Become **white list** in 2015

2. Review of policies for the implementation and enforcement of SOLAS 1974

- Implementation and enforcement
- Safety, design and construction, stability, equipment approval
- Survey and certification
- Safe manning
- Exemptions, equivalent, dispensations
- Control measures, FSI, outcome of PSC inspections, review and improvement
- Interpretations left to the "satisfaction of the Administration"
- Reporting to IMO

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- Implementation and enforcement
- Safety, design and construction, stability, equipment approval

- Survey and certification
- Exemptions, equivalent, dispensations

- AS defined in "Navigation in Thai Water ACT., Thai Vessel ACT., CORLEG ACT." Marine Department is authorized to issue regulation, announcement, procedure and SOP to comply with International convention such as SOLAS.
- SOLAS CH.I – V and CH.XII
 - Ship Survey Regulation BE.2559
 - Marine Department announcement No.65/2564 (2021) to support Ship Survey Regulation BE.2559
- SOLAS CH.VI (IMSBC) draft already presented to Ministry of Transport (MOT)
 - SOLAS CH.VII
 - IBC Code and BHC Code, in consideration by MOT.
 - IGC Code, in consideration by MOT
 - IMDG Code, draft already submit to Legal Bureau.
- SOLAS CH.VIII
 - Nuclear Code, on Public hearing

- SOLAS CH.IX
 - ISM Code, in consideration by MOT.
- SOLAS CH.X
 - Drafting in progress
- SOLAS CH.XI
 - MOT Announcement, in consideration by MOT
 - Marine Department regulation regarding RO, in consideration by MOT.
 - MOA between ROs and MD, on Public hearing
 - Marine Department regulation regarding CSR&ISSC, rechecked and draft confirmed to be submit to Legal Bureau
 - PSC inspection procedure (2021) already amended, in progress to GAZETTE Announcement.
 - PSC Policy (2021) already amended, in progress to GAZETTE Announcement.

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- Implementation and enforcement
- Safety, design and construction, stability, equipment approval

- Survey and certification
- Exemptions, equivalent, dispensations

- SOLAS CH.XII-2
 - Marine Department regulation regarding CSR&ISSC, rechecked and the draft confirmed to be submit to Legal Bureau
- SOLAS CH.XII
 - Marine Department Announcement No.65/2564(2021)
- SOLAS CH.XIII
 - Not necessary to issue regulation because of verification of compliance with the present convention of member state by the Organization.
- SOLAS CH.XIV
 - POLAR Code already drafted, on Public hearing

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- Safe manning
- Exemptions, equivalent, dispensations
- Control measures, FSI, outcome of PSC inspections, review and improvement

- Interpretations left to the "satisfaction of the Administration"
- Reporting to IMO

- Safe manning

- Marine Department has ship survey regulation, B.E.2559, for crew capacity and its COC required for ships engaged on the international voyages and Marine Department announcement No.23/2562, on minimum safe manning. Ship Standard Bureau has established SOP for defining and setting minimum standards that require seafarers in each rank to comply with in line with the Resolution A.1047(27). They are also stated in Marine Department announcement 23/2562 Reg.4.

- Exemptions, equivalent, dispensations

- Ship Survey Regulation B.E. 2559
- SOP for Exemption

- Interpretations left to the "satisfaction of the Administration"

- Marine Department announcement No. 13/2564(2021) under convention and code

- Control measures, FSI, outcome of PSC inspections, review and improvement

- For Flag State Supplementary Survey (FSI)
 - SSB follows MD Order No.276/2564, authorizes Surveyor of MD in line with Navigation in Thai Water ACT. Sections 139, 158, 160 and 170
 - SSB issued MD regulation on Flag State Supplementary Survey (FSI) procedures for ships engage on international and near costal voyages BE.2564 (2021)
 - SSB issued MD order No. 86/2555
 - The Sub-Committee for Formulation and Steering on Overall Maritime Strategy follows MD order No.3/2564 to set KPI and review every 6 months.

- Reporting to IMO

- SSB follows MD order No.463/2563(2020) subject to Reporting to IMO

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3. Review of policies for the implementation and enforcement of MARPOL

- Implementation and enforcement
- Environment protection measures, penal provisions, enforcement
- Survey and certification
- Exemptions, equivalence, dispensations
- Control measures, FSI, review and improvement
- Interpretation
- Reporting to IMO

National Legislation



Navigation in Thai Water Act B.E.2456 (1913)



Ship Survey Regulation (No.34) B.E.2551(2008)

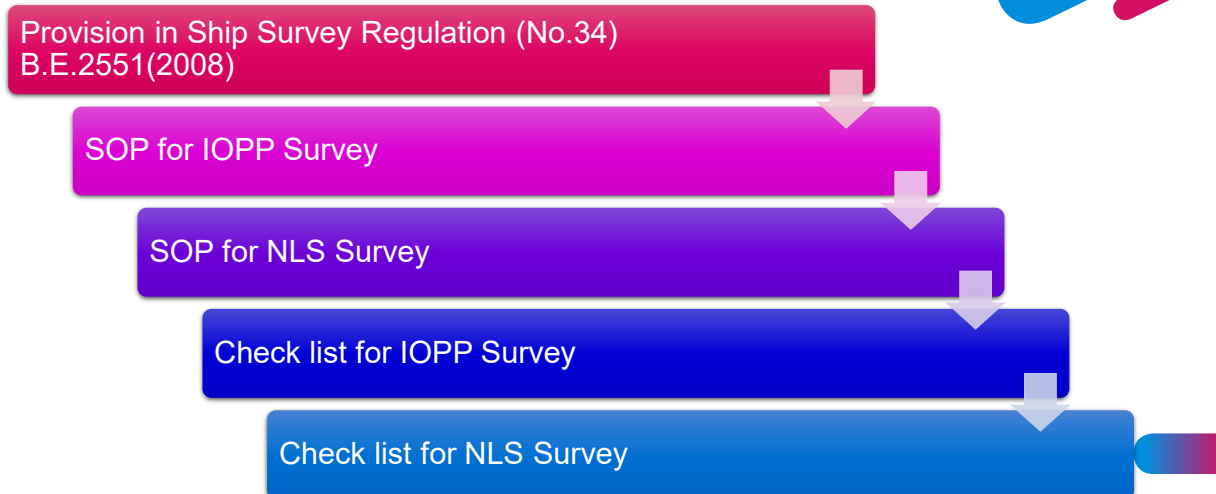


MD Rules, MD Orders,
MD Notifications



Standard Operation Procedure (SOP)

Survey and certification



- Implementation and enforcement
- Environment protection measures, penal provisions, enforcement
- Survey and certification
- Exemptions, equivalent, dispensations
- Control measures, FSI, review and improvement
- Interpretation
- Reporting to IMO

- MARPOL Annex I & II

- AS defined in "Navigation in Thai Water ACT." Thailand authorizes Marine Department to issue regulation, notification, procedure and SOP to comply with MARPOL convention.

- [Ship Survey Regulation No.34](#), SSB draft amendment in progress.

- Control measures, FSI, review and improvement

- [MD Order No.276/2564](#) authorizes Surveyor of MD in line with Navigation in Thai water ACT. Sections 139, 158, 160 and 170.

- [Marine Department Rule \(Flag State Supplementary Survey : FSI\)](#) for ship engage with international and near costal voyage BE.2564 (2021)

- Interpretation

- [Marine Department Notification No. 13/2564\(2021\)](#) regarding SOTA under convention and code

- Reporting to IMO

- SSB follows [MD order No.463/2563\(2020\)](#) process for [reporting to IMO](#)

4. Review of policies for the implementation and enforcement of COLREG 1972, TONNAGE 1969 and Load Lines 1966

- Implementation and enforcement
- Equipment approval
- Exemptions, equivalence, dispensations
- Survey and certification
- Control measures, FSI, PSC, review and improvement
- Interpretations left to the "satisfaction of the Administration"
- Reporting to IMO

National Legislation

- Navigation in Thai Water Act B.E.2456 (1913)
- COLREG ACT. B.E.2522
- Ship Survey Regulation No. 15
- Ship Survey Regulation No.20 (LL)
- Ship Survey Regulation No.22 (Tonnage)
- Ship Survey Regulation B.E. 2559
- MD Rules, MD Orders, MD Notifications, SOP

Overall Maritime strategy Target

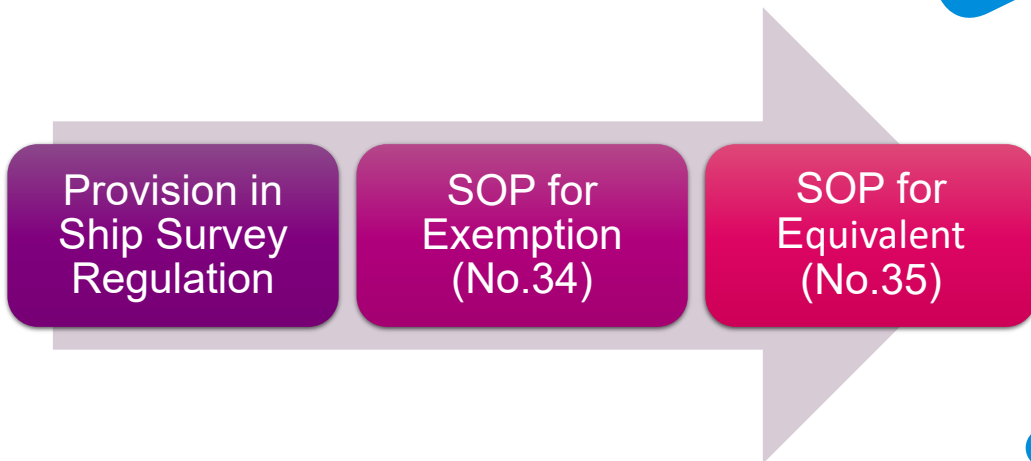
Accession of Protocol of 1988 relating to the International Convention for Safety of Life at Sea (SOLAS Protocol 88) and Protocol of 1988 relating to the International Convention on Load Lines (Load Lines Protocol 88)



Survey and certification Under COLREG, TONNAGE ,LL



Exemptions, equivalent, dispensations



Control measures, FSI, PSC, Review and Improvement

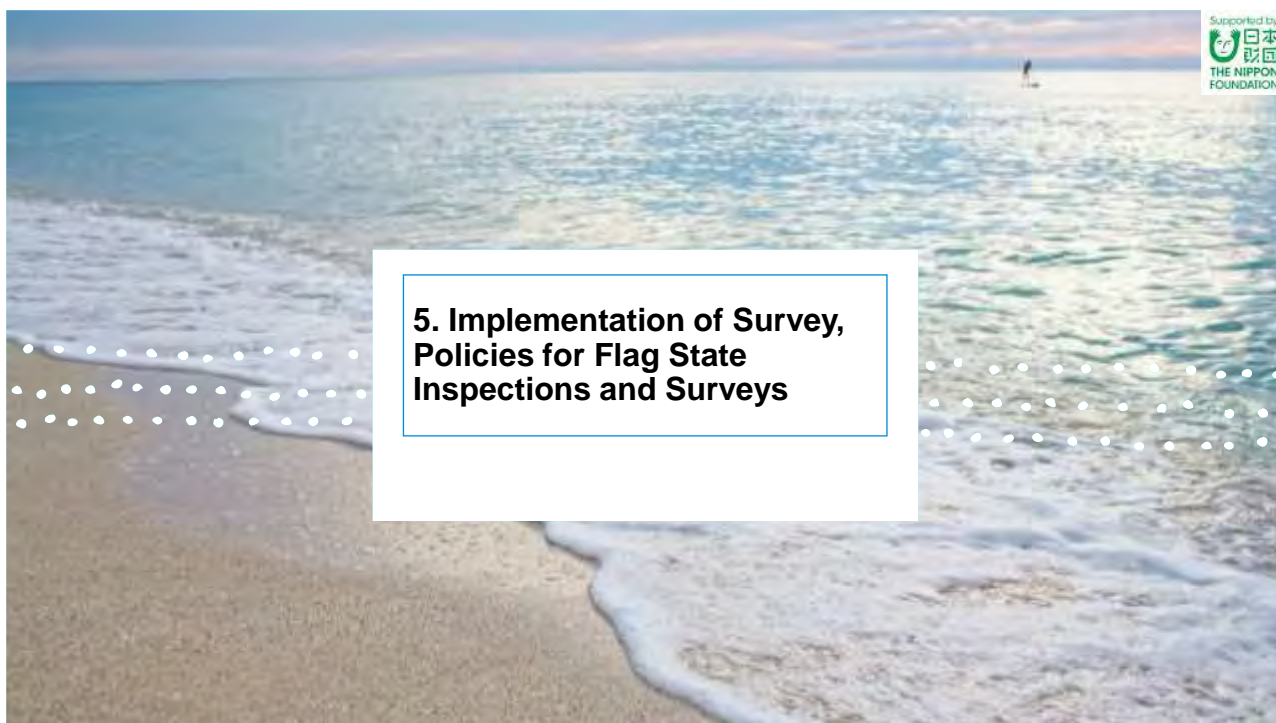


Review and improvement

- The Sub-Committee for Formulation and Steering on Overall Maritime Strategy set [MD order No.3/2564](#) to set KPI and review every 6 months.

Reporting to IMO

SSB follows MD order No.463/2563(2020)
process for reporting to IMO



5. Implementation of Survey, Policies for Flag State Inspections and Surveys

Agenda

- Policy on survey and inspection
- Type of surveys
- Exemption policies
- FSI instructions
- Certificate Forms
- Survey/inspection checklist
- IMO guidance
- Enforcement of ships, owners, operators (examples)
- Statistical analysis
- Records
- Reporting to IMO
- Evaluation and review

National Legislation

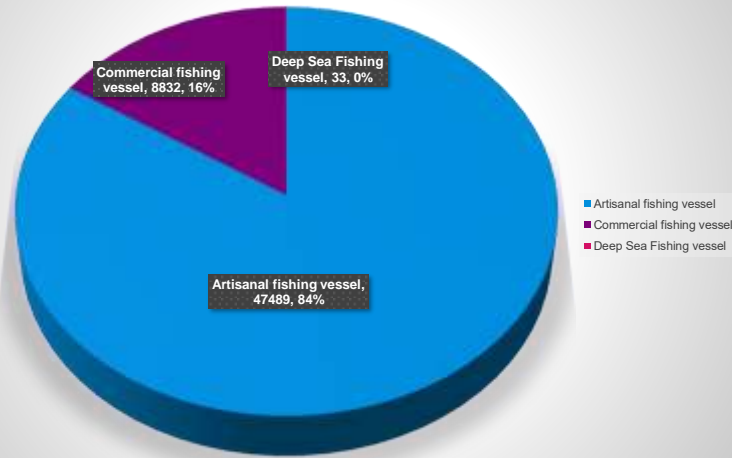
Navigation in Thai Water Act B.E.2456 (1913)

COLREG ACT. B.E.2522

Ship Survey Regulations

MD Rules, MD Orders, MD Notifications, SOP

Fishing Vessel Fleet

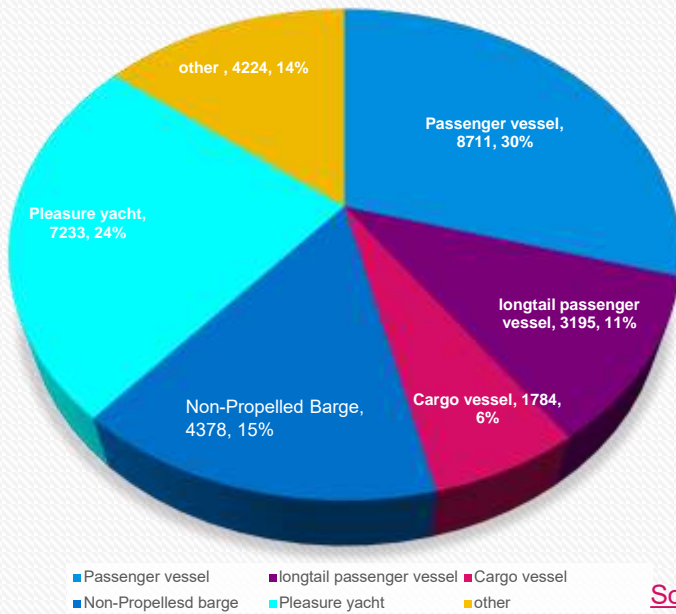


Fishing vessel	56354
Artisanal fishing vessel	47489
Commercial fishing vessel	8832
Deep Sea Fishing vessel	33

www.thisis.md.go.th on 21 Nov 2022

29

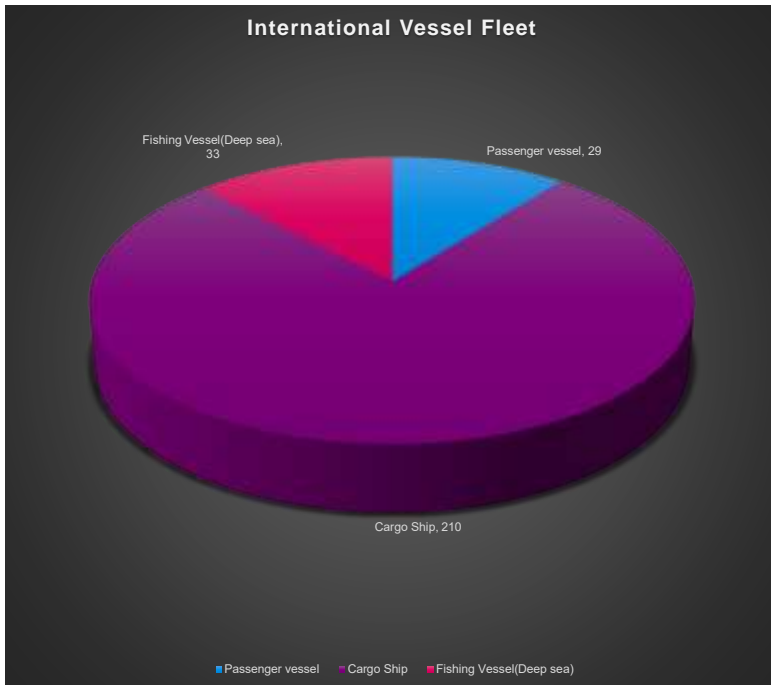
Domestic Vessel Fleet



Domestic vessel	26330
Passenger vessel	8711
Long tail passenger vessel	3195
Cargo vessel	1784
Non-Propelled barge	4378
Pleasure yacht	7233
Others	4224

Source: www.thisis.md.go.th on 21 Nov 2022

30



International vessel	272
Passenger vessel	29
Cargo Ship	210
Fishing Vessel(Deep sea)	33

Passenger Vessel - **Neighboring area vessel**

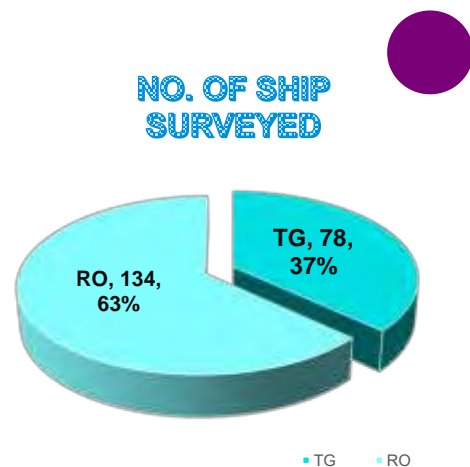
31

www.thisis.md.go.th on 21 Nov 2022

THE RESPONSIBILITIES AS FLAG STATE



- 212 REGISTERED VESSELS (INT>300 GT) (2 August 2022)
- SURVEY & CERTIFICATION
Responsible Unit: Marine Department, Ship Standard Bureau
- Number of Ship Surveyors : 22



32

Vessel Thai Flag engage on international voyages

Type of use	MD	ROs
Bulk Carrier	-	24
General Cargo Vessel	15	29
Tanker	45	57
Offshore support vessel	1	14
Anchor handling tug supply vessel	-	4
Support of Industrial Exploration and petroleum producer	1	2
Other Types	16	4



33

Vessel Thai Flag under ROs

ROs	TOTAL
ABS	14
BV	19
DNV-GL	18
KR	9
LLOYD'S	12
NK	55
RINA	7



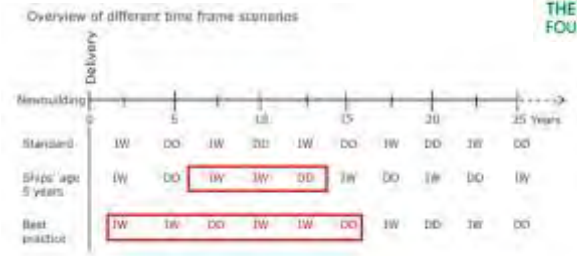
Policy on survey and inspection

MD Notification No. 58/2563 (2020) Subject to Flag State Implementation Policy



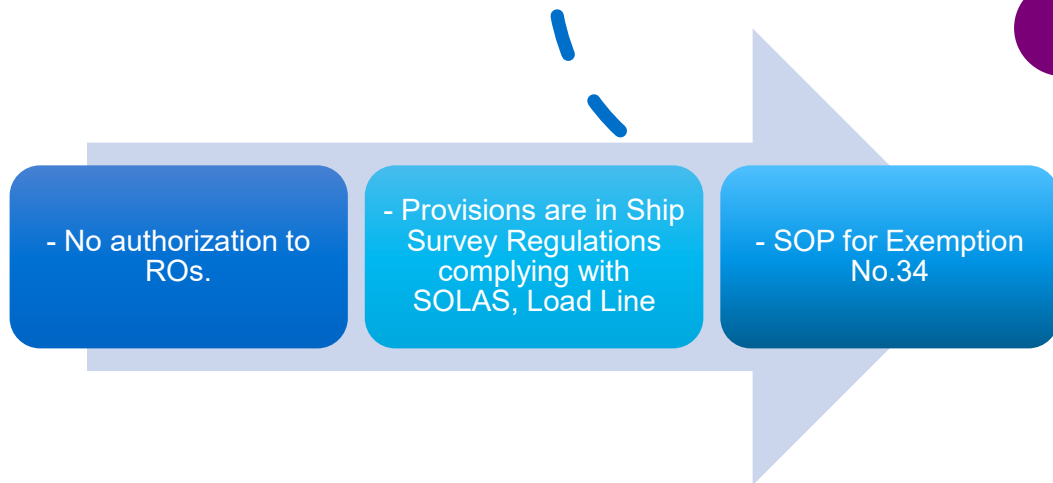
Type of surveys

- Ship Surveyor Regulations cover type of survey required by instrument
- SURVEY GUIDELINES UNDER THE HARMONIZED SYSTEM OF SURVEY AND CERTIFICATION (HSSC), 2019
 - Initial Survey
 - Periodical Survey
 - Renewal Survey
 - Intermediate Survey
 - Annual Survey
 - Additional Survey
 - Inspection of the outside of the ship bottom



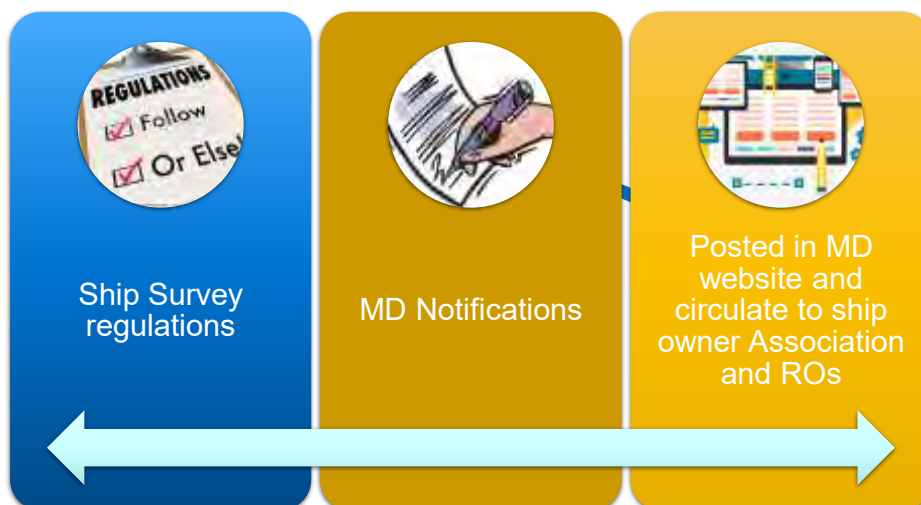
- Non - Periodical Survey
- Damage & Repair Survey
 - Change of Ship Type
 - Change of Type of use
 - Change of Management

Exemption policies



37

FSI Instructions



38

Certificate Forms

- Certificate Forms of conventions have defined in ship survey regulation and authorized the DG to amend and define new form to follow the amendment of conventions.



- Certificate Form had been upload to GISIS website.



39

Survey/Inspection Checklist



- Ship Survey regulations, MD Notifications, MD Orders

- SSB had SOP, checklist for different types of survey and Certification



40

IMO Guidance



MD Notification No.100/2563(2020) subject to Non mandatory Instrument.

MD Notification No.13/2564(2021) subject to SOTA as amended



Enforcement of ships, owners, operators (examples)

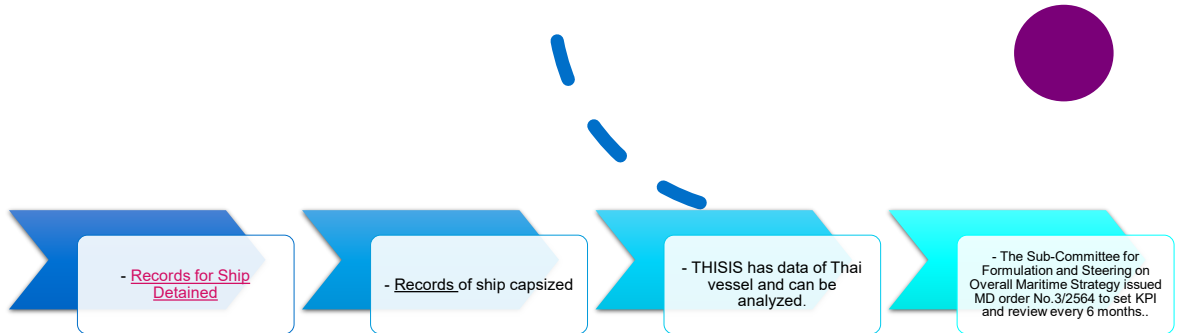
- MD Order No.276/2564 subject to authorize Surveyor as MD by Navigation in Thai water ACT. Section 139, 158, 160 and 170

- Marine Department Rule (Flag State Supplementary Survey : FSI) for ship engage with international voyage and near costal voyage BE.2564 (2021)

- Flag state inspection campaign 2019 2 vessel were detained



Statistical analysis



Records



SOP for record keeping.

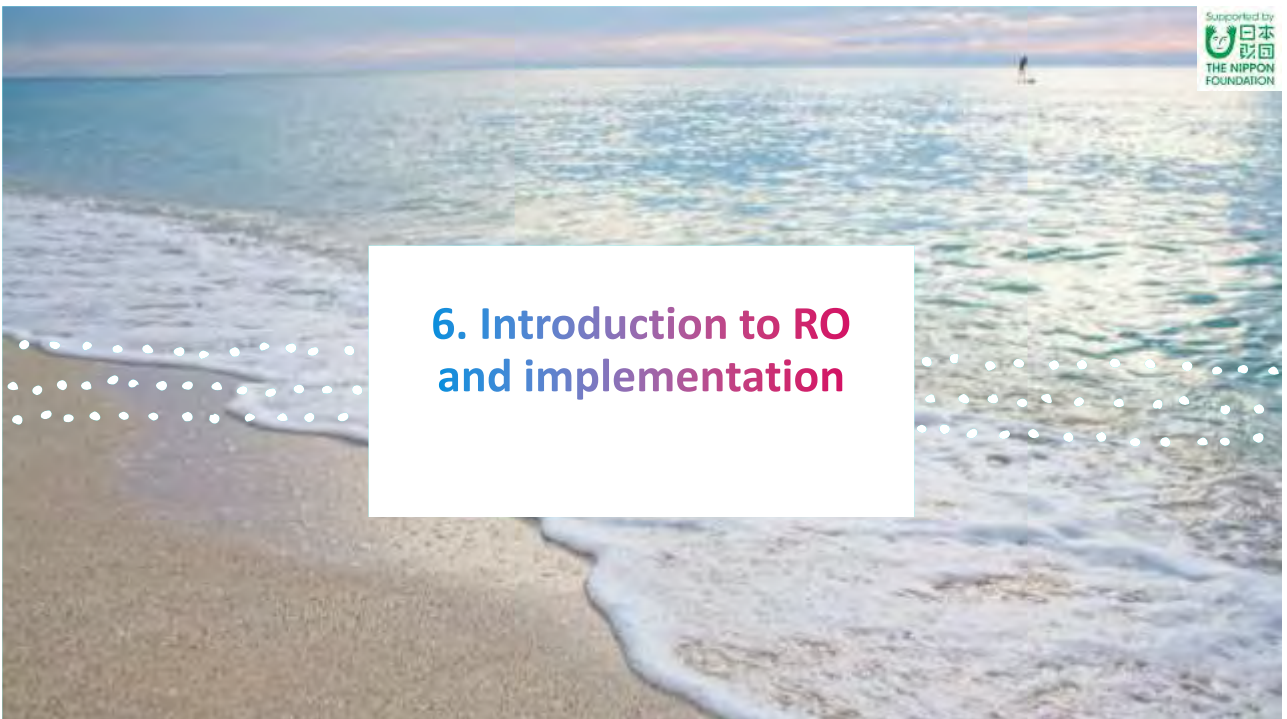
Kept in hard copy format and partially digitalized in MD database, aiming of full transition in 2nd quarter of 2022

Reporting to IMO Evaluation and review

- SSB follows MD order No.463/2563(2020) process for reporting to IMO
- The Sub-Committee for Formulation and Steering on Overall Maritime Strategy issued MD order No.3/2564 to set KPI and review every 6 months.
- SOP for Evaluation and review



45



6. Introduction to RO and implementation

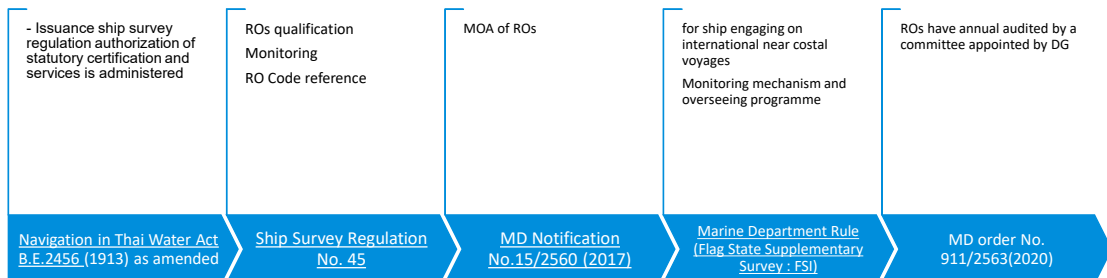


Agenda

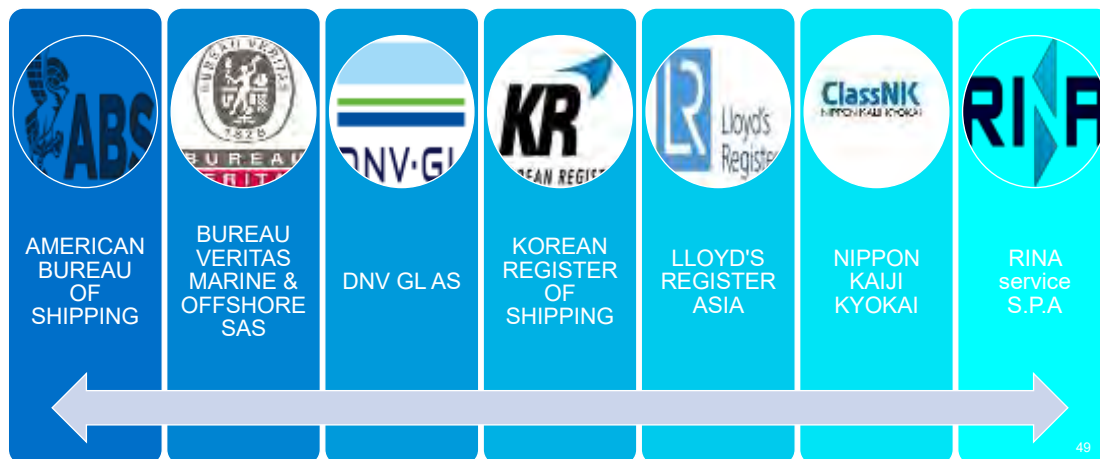
- Policy
- RO agreements
- Communication and instructions
- Monitoring mechanism and oversight programme
- Resources
- Evaluation and review



National Legislation



Authorized ROs

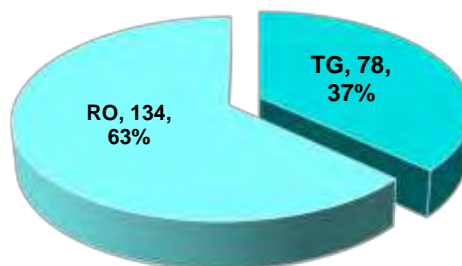


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THE RESPONSIBILITIES AS FLAG STATE

- 212 REGISTERED VESSELS (INT>300 GT)
(Data on date 2 August 2022)
- SURVEY & CERTIFICATION Responsible Unit: Marine Department, Ship Standard Bureau
- SSB had MD order No. 86/2555. (Control measures for solving Thai flag ship are blacklisted)

NO. OF SHIP SURVEYED



■ TG ■ RO

Vessel Thai Flag engaging on international voyages

Type of use	ROs
Bulk Carrier	24
General Cargo Vessel	29
Tanker	57
Offshore support vessel	14
Anchor handling tug supply vessel	4
Support of Industrial Exploration and petroleum producer	2
Other Types	4
Total	134



Vessels Thai Flag under ROs

ROs	
ABS	14
BV	19
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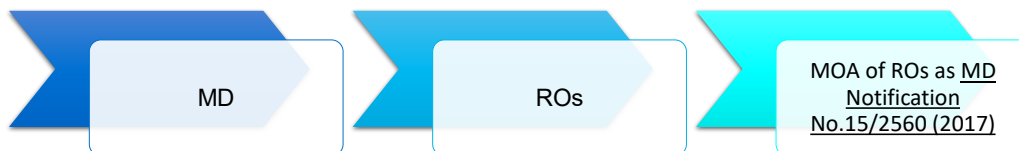
Policy



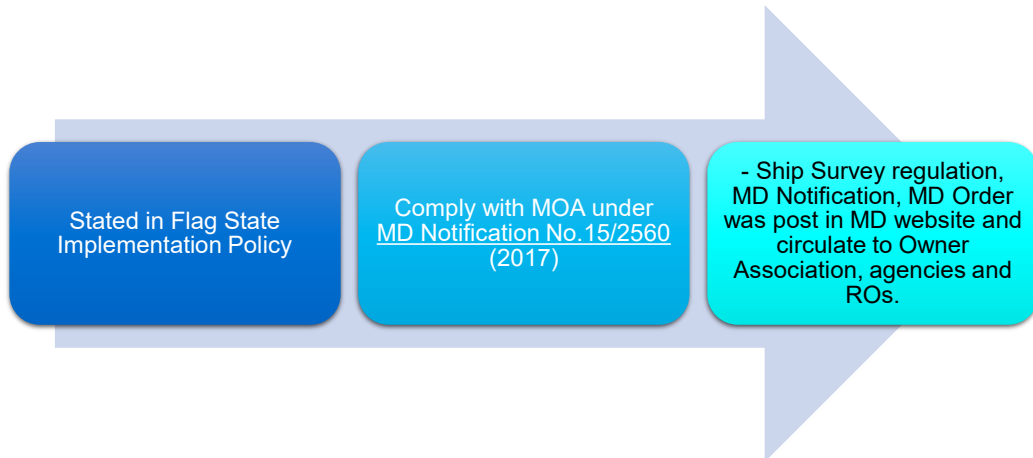
MD Notification No. 56/2563 (2020) Subject to Flag State Implementation Policy (clauses 4, 5 and 10) fleet quality, recognizing/monitoring and communication



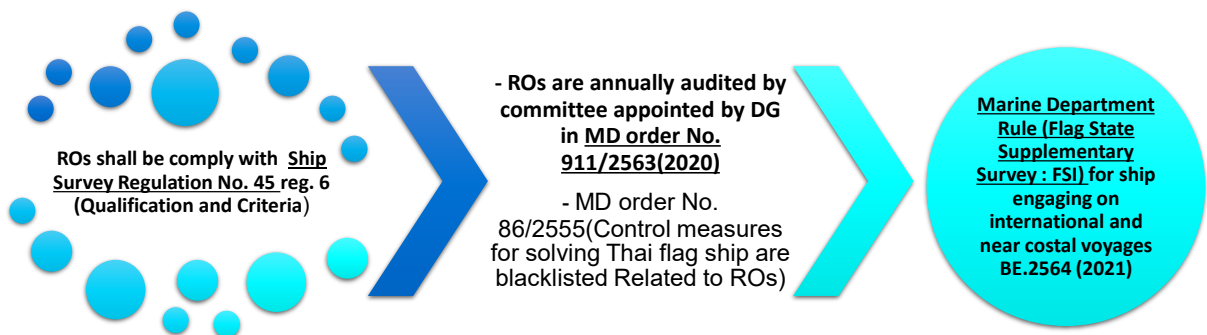
RO agreements



Communication and instructions



Monitoring mechanism and oversight programme



Resources



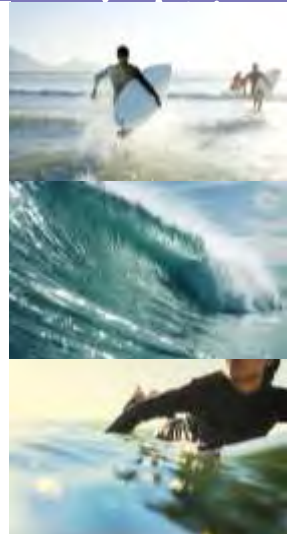
The committee appointed by DG is responsible to assess the resources of ROs (MD order No. 911/2563(2020))



Review of submitted document of ROs prior to initial audit

Evaluation and review

- The Sub-Committee for Formulation and Steering on Overall Maritime Strategy set [MD order No.3/2564](#) to set KPI and review every 6 months.
- Meeting with RO for detained ships regularly. (15 Ship in 2018-2020)
- SSB SOP for Evaluation and review



7. Implementation of ISM Code in Thailand

Marine Department of Thailand as Flag Administration

- Flag state
- Port state
- Coastal State
- Thai Meteorological Department ATON
- Navy
- SAR units
- State Enterprise - Port Authority of Thailand



Private Sectors

- Shipping Industry
- P&I insurance company
- Shipping company
- ROs.
- Private ports
- Logistics & Supplier company



Opportunities of the ISM Code,

- **Improve & maintain safety management system**
- **SMS Assessment of all identified risk to ships, personal and environment**
- **Safe ship operation and management**
- **Pollution prevention.**



ISM- Main purpose for

- **Maritime safety & Environmental protection.**
- **Maintain shipping company & RO in compliance with relevant instruments & flag state legislation.**
- **Authority can communicate directly between shore and shipboard personal.**



- Stake holder of maritime sectors all level can understand safety and Environmental -
- Protection and respond in case of em'cy situation in same direction
- Ensure to develop and continuous improvement of safety management skills of personnel ashore and onboard ship
- Safety culture.



CHALLENGE

- Educating and training personal relevant parties at all level can be able to understand ISM Code and implement with Thai national legislations.
- Increasing competency and quality of Thai auditors for ISM Code in all sectors for balance manpower in maritime industry.



- **Improvement of national legal mechanism instrument for implementation ISM Code. (complicated and spend long period for legislation process)**



The roadmap of the implementation of the ISM Code



Short terms plan

- Develop internal quality assurance of ship standard bureau
- Develop human resources required for bodies providing Audit and Certification.
- Control RO under marine regulation no.18 and 38

LONG TERMS PLAN

- **Transfer of control to RO.**
- **Accreditation Body**



Support infrastructure to achieve the implementation of the ISM Code

RESOURCES

- **NATIONAL STRATEGY MASTER PLAN**
- **HUMAN ELEMENTS,**
- **LEGISTRATION,**
- **FINANCIAL AND TECHNOLOGY ,PERSONAL TRAINING**
- TECHNICAL SUPPORTS**

SUPPLIED NOTE PAD COMPUTER



Senior surveyor can performed ISM Auditor 20 persons and about 50 surveyors in provinces took courses of ISM and related once in every 2 years.

-ISO 9000 training several courses to be internal auditors.

-ISM implementation courses.



Accountability for meeting the objectives of the implementation of the ISM Code

- **MARINE DEPARTMENT IS MAIN AGENCY WHO IMPLEMENT ISM CODE.**
- **SMC. WERE ISSUED BY MD 150 SHIPS ANNUALLY**
(Including non-SOLAS domestic vessels)
- **DOC. WERE ISSUED BY MD 34 COMPANIES ANNUALLY**



Success stories from the country/region

TOKYO MOU ANNUAL REPORT

- Black list for Thai flagged ships from 2002-2012
- Up grade to became gray list in 2013
- Become white list in 2015.



Counter measures

- **Marine Department Notice no.86/2002 date 30.03.2002**
“Corrective measures to Thai flagged ships under Black List.”
 - Preventive measures
 - Corrective measures by collaboration between Marine Department and the ship owner or ship management companies.
 - Corrective measures by collaboration between Marine Department and RO.



8. Measurement for Thailand blacklisted vessels

8.1 Activities for Thailand flag detained vessel

8.2 Activities for under performing vessels

8.3 Activities for Shipowners & Operators

8.4 Activities for Recognized Organizations(ROs)

8.5 Activities for Flag State Surveyors



8.1 Activities for Thailand flag detained vessel

- Gather information of the vessel detained in year 2010 from Tokyo MOU database.
- List of vessels & companies having high rate of detention.
- Analysis root cause of deficiencies and detention.
- Prepare the initial(draft) measure for ship owners, operators, ROs & ship surveyor.
- Organize a public hearing forum by inviting stakeholders to consider the initial measures.
- Revise the initial measures upon recommendations.
- Adopt and implement the final measures.



8.1 Activities for Thailand flag detained vessel

- Conduct awareness-raising activities for shipowner and operator through training and seminar.
- Conduct awareness-raising activities for seafarers through training and seminar.



8.2 Activities for under performing vessels

- Raise awareness, enhance knowledge and develop understanding on PSC to shipowners and operator through training or seminar.
- Raise awareness, enhance knowledge and develop understanding on PSC to seafarers through training or seminar.
- Encourage shipowners and operations to conduct voluntary pre-arrival or prior-departure inspection campaign following PSC Preventive Maintenance Checklist as a guideline.



8.3 Activities for Shipowners & Operators

- Analyze root causes and propose action taken to any detention as soon as possible.
- Request MD surveyor to conduct re-inspection in case of serious deficiencies.
- In case of high detention rate occurred to any vessel, MD may reduce the term of certificate validity to such vessel as appropriate.



8.3 Activities for Shipowners & Operators

- In case of high detention rate occurred to any vessel, the shipowners or operator failed to undertake appropriate corrective measure effectively, MD may deny issuing of certificate to such vessel unless the deficiencies have been completely rectified.
- If the any vessel is found to have repeated deficiencies causing detention continuously, addition audit for safety management system is required.



8.4 Activities for Recognized Organizations(ROs)

- If any vessel under the responsibility of ROs is detained, such ROs is required to analyze the root cause and propose action to be taken to as soon as possible.
- Found serious deficiencies causing detention, re-inspection by ROs ship surveyor is required.
- In case of serious deficiencies, if ROs fail to undertake appropriate corrective measures effectively, MD may suspend the authorization to such ROs unless the deficiencies have been completely rectified.



8.4 Activities for Recognized Organizations(ROs)

- If it is found that ROs always fail to undertake appropriate measures to ensure safety standard or carries out the authorized tasks inefficiency & effectively, MD may withdraw the authorization to such ROs.



8.5 Activities for Flag State Surveyors

- Requires to analyze the root causes & report to MD in the monthly meeting.
- Required to cooperate with shipowners & operators of the detained vessel to jointly consider adopting appropriate corrective actions
- Ship surveyor may be suspended from duty and training for particular knowledge is required
 - If found that a vessel is detained repeatedly due to the same deficiencies
 - If vessel detained continuously in particular period while it is under the responsibility of the same ship surveyor.



9. Corrective Measure of Thai Flagged Ships under Black List (Marine Department Notice No.86/2555 (A.D.2012))

- In order to reduce number of detained Thai Flagged ships and get away from Black list of Tokyo-MOU.
 - MD issue various measure for all concerns party to collaborate
 - The measure which are composed of following;
 - Preventive measure
 - Corrective measure by collaboration b/w MD, Owner & ship management companies
 - Corrective measure by collaboration b/w MD & ROs.



9.1 Preventive measure

- To arrange training for ship management company in order that they have knowledge and correct understanding of PSC.
- To arrange training for seafarers on PSC
 - In-class training
 - Training at their company
 - On-board training
 - CD-ROM or computer
- To conduct inspection before arrival to and departure from port by the owners with PSC Preventive Maintenance Checklist as a guideline.



9.1 Preventive measure

- For vessels that have high detention rate, representatives of the owner to have collaboration with MD officer on inspection before sailing to foreign ports with the same inspection of PSC of that foreign port.



9.2 Corrective Measure by collaboration - MD, Owner & Ship Management Companies

- The owner & Ship management companies are required to clarify cause and action subject to receive notification from PSC that detains ship with specific timeframe to rectify deficiency.
- To dispatch gov. surveyor(s) or surveyor(s) from ROs to carry out inspection again in case of major deficiency.



9.2 Corrective Measure by collaboration - MD, Owner & Ship Management Companies

- Ship Standard Bureau will issue Certificate of survey for annual survey validity less than 12 months,(Foe example valid for 6 months) if ship is detained more than 1 time in 12 months by the same deficiency that has caused detention.
- Carry out Additional Audit for Safety Management Certificate, if ship is found that has been detained within 12 months by the same deficiency that has caused detention.



9.2 Corrective Measure by collaboration - MD, Owner & Ship Management Companies

- Ship Standard Bureau will issue Certificate of survey for annual survey validity less than 12 months,(Foe example valid for 6 months) if ship is detained more than 1 time in 12 months by the same deficiency that has caused detention.
- Carry out Additional Audit for Safety Management Certificate, if ship is found that has been detained within 12 months by the same deficiency that has caused detention.



9.3 Corrective measure by collaboration - MD & ROs.

- RO is request to explain and clarity cause and actions taken incase of receive notification from PSC that detains ship.
- To dispatch government surveyor to carry out inspection again or co-survey in case of major deficiency is pointed out or not ensure that the deficiency have been dealt with according to regulations and conditions of authorization.



9.3 Corrective measure by collaboration - MD & ROs.

- If it was found that deficiency have not been rectified until ship is in normal condition and safety, Ship Standard Bureau may consider to temporarily suspend the authorization of RO for that ship until the deficiency have been rectified.
- Permanently revoke the authorization, if RO is deemed to be neglectful of ship safety or lack of efficiency.



Result from activities and implementation measure

- The lower number of detained vessel from 2011 to 2018.
- Amount of meeting with shipowner, operations & ROs that dropped from 2011 and less up to now.
- ISM-Safety Management System become more and more in positive measure instrument.
- Ship Safety, resulting safety for the crews as well as the minimizing impact on the environmental are major role.
- Continue to Improvement and Implementation.



Question ?

9/3/20XX

Presentation Title



THANK YOU!

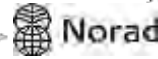




Marine Environment Protection of the South East Asian Seas (MEPSEAS)

Mrs. Tran Thi Tuyet Mai Anh

Flag Performance Improvement Seminar
December, 2022



CONTEXT

RISK FACTORS

MEPSEAS PROJECT

VIETNAMESE PROJECT

Marine Environment background of the South East Asian Region



30% of the world sea space under national jurisdiction

40% of the world's total fish catch

75% of the SEA region's population live in coastal areas

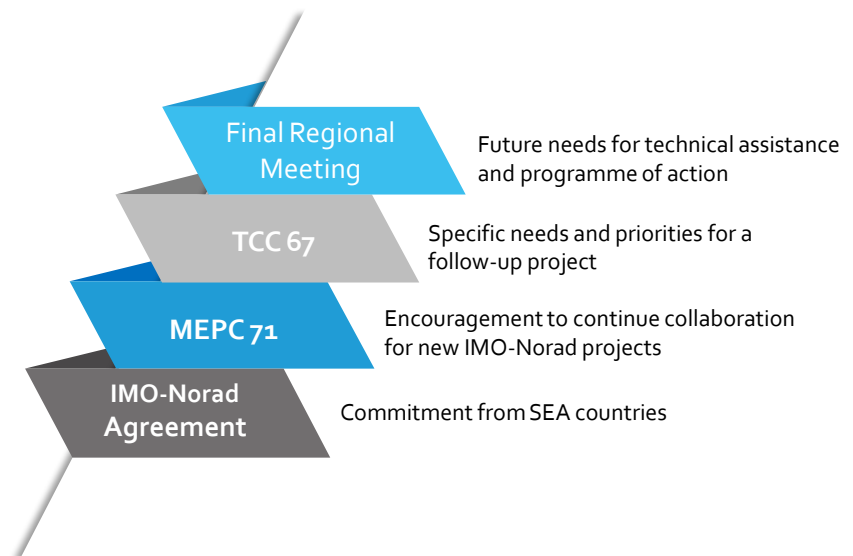
Main economic activities:
Fisheries and coastal tourism



What are the risks associated with such a high rate of shipping activity?



Overwhelming demand from SEA countries for programmatic support for a follow up project





High priority marine environmental conventions

CAMBODIA	MARPOL Annex I, II and V
INDONESIA	AFS and BWM
MALAYSIA	MARPOL Annex I and II and BWM
PHILIPPINES	AFS and BWM
THAILAND	MARPOL Annex V and LP
VIETNAM	AFS and BWM



MEPSEAS Project

“Reduce the risks and impacts of environmental issues related to maritime transport in ASEAN region and support the SDGs”



2018-2022



NOK 16 million



MPA, WIMA ASIA, PEMSEA, ASEAN



Cambodia, Indonesia, Malaysia, Philippines, Thailand and Viet Nam



Sustainable Development Goals



Increased engagement of women in local and national level activities



Reduced the risk of impact of ship-generated Pollution on marine environment and fisheries



Spurred efforts to increase uptake of technology solutions



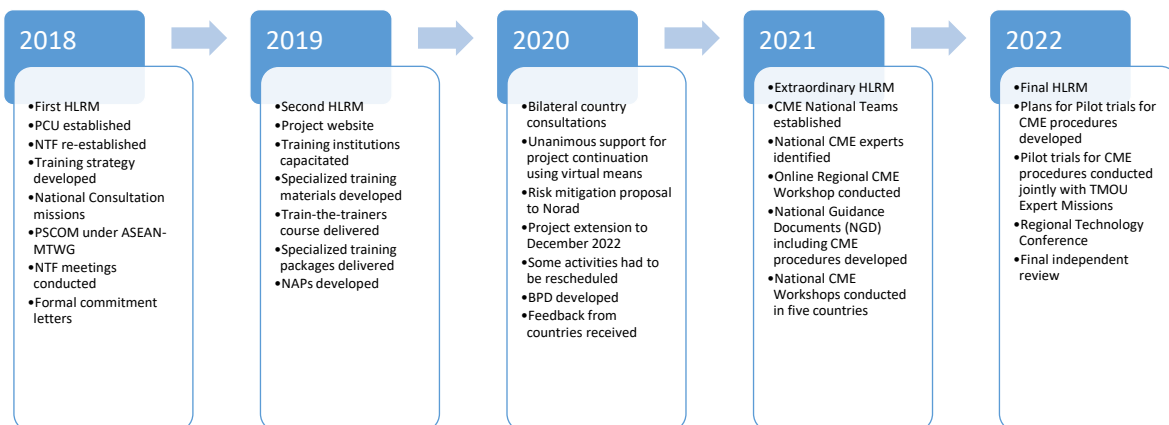
Supported government and port management capacities, supported development of national-level legislations and strategies



Assist countries in implementation of the Conventions based on their specific needs and a comprehensive document on Compliance, Monitoring and Enforcement



Dynamic start of project implementation



MEPSEAS Activities Timeline



Results and validation methods

	KEY OUTCOMES	INDICATORS	SOURCE OF VERIFICATION
1	Conveyance of selected sites	All processes completed	Accession documents
2	NAP agreed	a) NTF established; b) IRR drafted and agreed	a) NTF meeting reports; b) approved NAP and IRR
3	Implementation/capacity building	a) Training institutes identified; b) 1 st delivery training completed	a) Nomination letter; b) delivery report
4	PSC/FSI procedures in place	PSC/FSI procedures agreed	Finalized PSC/FSI document
5	Implementation operationalized	a) Identification of Pilot location; b) delivery of Pilot	Report of Pilot delivery



Highlights of milestone activities and accomplishments

- Project governance and coordination in place – NTF active in all countries*
- Project monitoring established and implemented – annual reports and final review*
- LPIR enhanced through comprehensive training*
- NAPs for implementation developed*
- CME systems developed and inspection regime strengthened*



Innovative approaches to deliver technical assistance

- ★ Encouraging horizontal regional cooperation (South-South)
- ★ Strategic regional partnerships – TMOU expertise and constant support, Singapore MPA, WIMA Asia
- ★ Building expertise through Train-the-Trainers activities
- ★ Promotion of home-grown expertise: "Grow your own talents"
- ★ Wide-reaching project visibility: dedicated website, MEPC, TCC, international events



Baseline Scenario at Start of Foundation Project

Milestone	Formalise NTF	Document for Accession Academic study	Draft Policy	Draft Legislation	Ratification Accession
Cambodia MARPOL Annex I, II and V	Red	Red	Red	Red	Green
Indonesia AFS	Red	Red	Red	Red	Red
Indonesia BWM	Red	Red	Red	Red	Red
Malaysia BWM	Red	Red	Red	Red	Green
Malaysia MARPOL Annex I & II	Red	Red	Red	Red	Green
Philippines AFS	Red	Red	Red	Red	Red
Philippines BWM	Red	Red	Red	Red	Red
Thailand MARPOL Annex V	Red	Red	Red	Red	Red
Thailand LP	Red	Red	Red	Red	Red
Viet Nam BWM	Red	Red	Red	Red	Red
Viet Nam AFS	Red	Red	Red	Red	Red

Scenario at End of Foundation Project

Milestone	Formalise NTF	Document for Accession Academic study	Draft Policy	Draft H. L Legislation	Ratification Accession
Cambodia MARPOL Annex I, II and V	Green	Green	Yellow	Yellow	Green
Indonesia AFS	Green	Green	Green	Green	Green
Indonesia BWM	Green	Green	Green	Green	Green
Malaysia BWM	Green	Green	Green	Green	Green
Malaysia MARPOL Annex I & II	Green	Green	Green	Green	Green
Philippines AFS	Green	Green	Green	Green	Green
Philippines BWM	Green	Green	Green	Green	Green
Thailand MARPOL Annex V	Green	Yellow	Yellow	Green	Yellow
Thailand LP	Green	Yellow	Yellow	Yellow	Yellow
Viet Nam BWM	Green	Green	Green	Green	Yellow
Viet Nam AFS	Green	Green	Green	Green	Green

Strong commitment of participating countries towards full implementation



PHILIPPINES

PROJECT GAINS, ACCOMPLISHMENTS AND PLANS

- Implementation of BWM and AFS Conventions



PROJECT GAINS, ACCOMPLISHMENTS AND PLANS

- ❑ ***Institutionalization of the inter-agency coordinating mechanism (National Task Force)***
 - **Executive Order No. 159, s2021:** Creation of the Inter-agency Coordinating Committee to Facilitate the Ratification of and Accession to and Implementation of Maritime Conventions (ICCFRAIMC)
- ❑ ***Improved procedure for ratification and implementation of IMO instruments***
 - **MARINA Quality Procedure No. 04-01, s2021:** Procedures on the Ratification and Implementation of Maritime Conventions
 - Adoption of a **Roadmap** for the Ratification and Implementation of Maritime Conventions by each concerned agency
 - **MARINA Administrative Order No. 16-22, s2022:** Guidelines on the Formulation, Revision and Referencing of Memorandum Circulars, Proposed Bills, Draft Executive Orders, Draft Department Orders, Implementing Rules and Regulations of a Law and Circulars jointly issued by the MARINA Partner Agencies

PROJECT GAINS, ACCOMPLISHMENTS AND PLANS

- ❑ ***National Strategic Action Plan Framework adopted***
 - National Strategic Action Plan Framework consisting of the 8 key Components adopted in the implementation of other Maritime Conventions

- ❑ ***Operationalization of the Maritime Training Institute(MarTi)***
 - Training courses on other maritime conventions now being offered by MarTi
 - Undertake, promote and coordinate related maritime research programs responsive to the current and future needs of the maritime industry in line with the Maritime Industry Development Plan (MIDP)



PROJECT GAINS, ACCOMPLISHMENTS AND PLANS

- ❑ ***Implementation of BWM and AFS Convention as part the Marine Environment Protection Strategy***
 - Marine Environment Protection Strategy is under Program 10 of the 10-year Maritime Industry Development Plan (MIDP)

- ❑ ***Strengthened partnership with relevant government agencies and funding institutions***
 - DOST, DENR, DOTr, DBP, UP, Academe, international organizations, etc.
 - Conduct of research and development of homegrown technology for maritime application



WAY FORWARD

- ❑ Update, monitor and evaluate the implementation of the BWM and AFS Convention National Strategic Action Plan (NSAP) through ICCFRAIMC;
- ❑ Include in the Annual Plan and Budget (APB) of relevant agencies (such as MARINA, PCG, PPA, DOST, DENR) the implementation of BWM and AFS Convention;
- ❑ Continue the conduct of researches and development of homegrown technology for BWM and AFS in coordination with DOST and UP IESM;
- ❑ Utilize the National Guidance Document in updating and enhancing memorandum circulars and supporting legislations and procedures relating to BWM and AFS.



○
CONTEXT

○
RISK FACTORS

●
MEPSEAS PROJECT

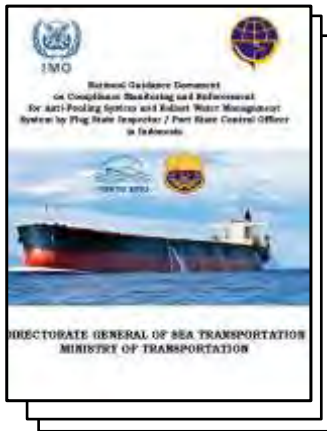


INDONESIA

PROJECT GAINS, ACCOMPLISHMENTS AND PLANS



Implementation of AFS and BWM Conventions commensurate with national effort and interest



- Implementation of AFS and BWM Conventions is a real contribution of the maritime sector to the protection of maritime environment from physical and biological pollution. Biological pollution is not a reversible process;
- The accomplishment of the MEPSEAS Project is not an end but the beginning of a national collaboration effort in the prevention and protection of maritime environment from both physical, chemical and biological pollution.

Plans for sustaining the MEPSEAS work



Implementing the AFS and BWM managements in domestic scope for domestic ships



Exploring the possibility of wider networking with strategic partners



Completion legal frame of NGD for AFS and BWM



Strengthening the collaboration among marine environmental related agencies, i.e sustaining the collaboration of the institutions within MEPSEAS National Task Force



Extending the number of implementing ports not only limited with the pilot ports



National monitoring and evaluation at Indonesian ports annually

Plans for sustaining the MEPSEAS work



ENHANCING THE CAPACITY
AND CAPABILITY OF
ENFORCEMENT OFFICERS



Extending the number of PSCO and FSI



Conduct sustainable training for FSI and PSCO (revalidation, endorsement, regular education, and training)



National CIC (Concentrated Inspection Campaign) on AFS and BWM Convention



Encourage bilateral/regional cooperation related to capacity building of FSI and PSCO (technical training and workshop)



Involve maritime practitioners, scientists, maritime industries, FSI, and PSCO in the development of maritime research and development



To conduct an oversight programme to the Recognized Organization under RO Code



CONTEXT

RISK FACTORS

MEPSEAS PROJECT

Malaysia

PROJECT GAINS,
ACCOMPLISHMENTS
AND PLANS



NAP Activities Taken

Convention	Task	Start	End	Remarks
MARPOL	Incorporate MARPOL Annexes I and II into national law	1 Jan 2019	31 Dec 2019	Approval process of policy paper, expected October 2022 (MARPOL Annex I and Annex II to be incorporated into national law as individual subsidiary legislation under MSO 1952)
	Establish port reception facilities	1 Jan 2021	31 Dec 2021	On track and ongoing
	Capacity building for enforcement	1 Jan 2020	31 Dec 2020	Tokyo MoU Expert Mission Training 5 th – 9 th September 2022
BWM	Update BWM legislation	1 Jan 2019	31 Dec 2019	On track and ongoing
	PSC guidelines development	1 Jan 2019	31 Dec 2021	Standard Operating Procedures Port States Control Inspection
	Capacity building for enforcement	1 Jan 2019	31 Dec 2020	Tokyo MoU Expert Mission Training 5 th – 9 th September 2022
	Facilitation of compliance: technology, funding, exemption	1 Jan 2019	31 Dec 2020	On track and ongoing

4

Relevant work/meeting by NTF members

- 1
 NTF Meeting (all NTF members)
 – 30 Nov 2021
- 2
 Workshop on MARPOL annexes (Ministry of Transport & Marine Department)
 – 27-29 May 2022
- 3
 Study on legislation to control oil pollution at sea (Department of Environment)
 – Jun 2021-Jun 2022
- 4
 Expert mission training with Tokyo MoU (Marine Department) – 5 – 9 September 2022



2
4

Challenges Encountered



Funding for reception facilities and PSC equipment for enforcement and restructuring of implementation systems



High costs, physical constraints and availability of ballast water treatment systems on board ships



Procedural uncertainties relating to risk assessment undertakings etc.



Thailand

**PROJECT GAINS,
ACCOMPLISHMENTS
AND PLANS**



Focused attention to the protection of the marine environment

Thailand placed importance on protecting the marine environment for more than 100 years in the Navigation in Thai Waters Act in 1913

- Various government agencies had been established to take more responsibilities
- Fisheries, Pollution Control , Marine and Coastal Resources, Water Resources, Office of Natural Resources and Environmental

Improved processes and mechanism in the ratification and implementation of IMO environmental conventions

- **Important steps to proceed on ratification of the convention**
- **Permission to become a party to the Convention**
- **To have the provisions of the instrument incorporated in national legislation**
- **Improvement of mechanism can only be done on subsidiary legislation.**

Fostered a wider network of strategic partners in advancing marine environment protection

- **Strong collaboration among agencies involved in marine environment protection**
- **Installation of a robust compliance monitoring and enforcement procedures/mechanism**

Thailand's perspectives as a participating country in the MEPSEAS Project

After joining the MEPSEAS project, Thailand is able to improve its procedures, mechanisms for implementing laws and obligations of International Conventions, and increase its efforts to become a party to the IMO conventions.

- Collaboration between the public and private sectors in an effort to develop guidelines to be more in line with the requirements of laws and conventions .
- The staff of the relevant departments are knowledgeable and ready to prepare draft legislation to meet the obligations of the Convention
- Cooperation with educational institutions had also been established to improve the competence of trainers and staff working in various sectors



Viet Nam

PROJECT GAINS, ACCOMPLISHMENTS AND PLANS



Accomplishments

- ✓ Nomination of the NCs;
- ✓ Establishment of the NTF at Vinamarine to study and propose the ratification and implementation of the Conventions;
- ✓ Formulation of the NWP as the roadmap to follow;
- ✓ The Government of Viet Nam has completed the ratification of the AFS. Almost 100% of the work for the AFS 2001 under this project has been completed;
- ✓ The Viet Nam Maritime Administration in collaboration with IMO organized training course on the legal implementation of BWM Convention and AFS Convention

Gains

- ✓ The Project helps formulate better understanding of the Vietnamese people in general and the Vietnamese authorities in particular in the question of marine environment. It also helped raise the awareness on the risk of marine environment pollution and sense of responsibility among stakeholders in Viet Nam.
- ✓ The Project directly and indirectly improves the legal and regulatory framework of Viet Nam by adopting provisions of the IMO conventions into the national legislations to cope with risks of marine environment pollution.
- ✓ It also helps the inter-agency and stakeholders' cooperation thus strengthens the national capabilities of the country in marine environment management and pollution prevention;

Plans

June 2023

- ❖ The Prime Minister to ratify the BWM Convention

Partnerships

- ❖ Participate and coordinate with the Contracting States in activities to control and prevent marine pollution, and destruction of native ecosystems by organisms transported through ballast water
- ❖ Promote technical cooperation with member countries to exchange experiences, train PSCs, and technical staff, exchange information, transfer technology, and encourage scientific research on ballast water management and Antifouling;

Plans

Implement

- ❖ Prohibit the ship from discharging ballast water in the event that a ballast water sample taken from the ship is found to have a negative impact on the environment, human health, property or resources;
- ❖ Propagating and disseminating the contents of the AFS and BWM Convention to officials of management agencies, shipping enterprises, and relevant organizations and individuals;
- ❖ Certification of eligible units to operate environmental monitoring services, including monitoring, measuring, sampling and analyzing ballast water quality to ensure that it meets the requirements of the BWM Convention



CONTEXT

RISK FACTORS

MEPSEAS PROJECT

VIETNAMESE PROJECT

The action program on reducing carbon emissions of the maritime sector of Viet Nam





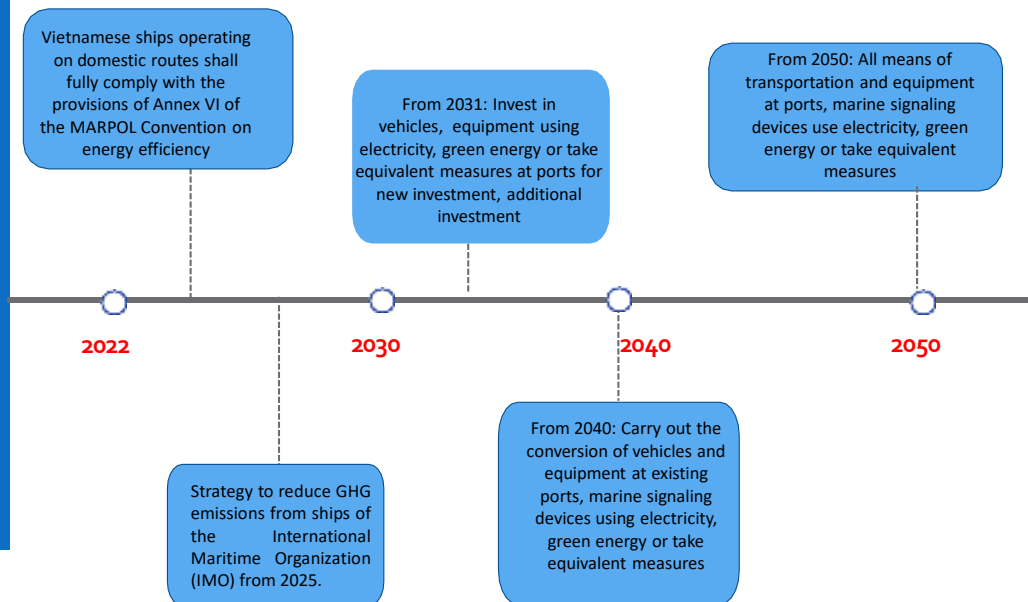
Speeches-and-Statements



- ✓ At COP 26, Viet Nam committed to develop and implement strong greenhouse gas emission reduction measures with its own resources, along with the cooperation and support of the international community, especially development countries, both financially and technology transfer, including the implementation of mechanisms under the Paris Agreement, to achieve net zero carbon emissions by 2050.
- ✓ Viet Nam has also joined the Declaration focusing on the role and interrelationships between forests, biodiversity and sustainable land use, contributing to achieving a balance between anthropogenic and absorb natural greenhouse gas, adapt to climate change.
- ✓ Viet Nam has targets to reduce greenhouse gas (GHG) emissions by 9% with domestic resources and 27% with international support by 2030 as per the Nationally Determined Contribution (NDC)



Activities Timeline





Implementation Strategy

BLUE SOLUTIONS PROJECT ESCORTING THE CLIMATE CHANGE PREVENTION PRIORITY



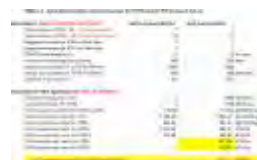
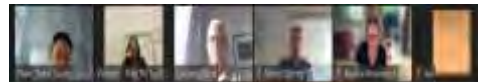
- ▶ “Blue Solutions” Project Initiative to be funded by Germany and implemented by IMO and PEMSEA to the tune of approximately 15 million Euros, aims to assist East and Southeast Asian countries through technical assistance and cooperation to transform maritime transport sector to a low-carbon in future
- ▶ Blue Solutions Project could be most effective international support, contributing to the NDCs achievement in maritime transport sector



PREPARATION FOR PROJECT PROPOSAL DOCUMENTS

Activities completed for Preparation Phase:

1. Intensively participated in Preparation phase from September 2021 to March 2022
2. Established NFP (Vinamarine) and appointed NC
3. Surveys and series of meetings and discussions with stakeholders
4. Close cooperation and supports among NC and International experts
5. Completed the Project Proposal Documents to submit to the Donor





PRIORITIES IDENTIFIED

- ✓ Pilot Proposal Priorities identified:
- ✓ Shore Power Supply to Ships (GEMALINK - Joint Venture of GEMADEPT Corporation and the CMA Terminals)
- ✓ Super Capacitor application for RTG/STS Cranes (Cat Lai terminal-Saigon Newport Copr. (SNP))
- ✓ New technology introduction in the country, playing trigger roles for GHG reduction trend in maritime transport sector
- ✓ In line with the GHG commitment and strategy of the government and economic community
- ✓ Technology expectations: Highly feasible in term of economic, technical and legal context



BLUE SOLUTION PREPARATION PHASE - VIETNAM



Challenge and barrier

The shortage of alternative fuel sources and High cost of clean alternative fuels

Differences in economic, scientific and technological development between countries

Alternative fuel supply infrastructure is not ready: there is no shore power system, no charging station, no renewable energy supply infrastructure, clean energy

The monitoring system for GHG emissions is still limited

Investment funds for the process: costs for procurement and installation of new equipment, technology, investment in shore power, and clean energy...etc.

The awareness of maritime units and enterprises on the conversion of green energy and reduction of carbon emissions is not really complete.



In conclusion

- Viet Nam has been one of the hardest-hit countries by climate change. Therefore, the implementation of commitments at COP 26, especially the commitment to bring net emissions to "zero" by mid-century is an inevitable and irreversible trend.
- Viet Nam will take advantage of this opportunity to implement low-carbon economic restructuring and strive to develop a climate response and economic development plan in line with international standards.
- Implementing the commitments at COP 26 has many advantages and challenges intertwined, in which difficulties and challenges are the main ones.
- IMO, international organizations and developed countries consider supporting and assisting Viet Nam for improving the institution; human resource training associated with innovation; appropriate and effective green finance arrangement; green technology sharing; national governance to implement GHG reductions.
- In particular, the establishment of a regional project to assist Southeast Asian countries in developing a policy framework for reducing GHG emissions in the maritime sector, which includes both shipping and seaport.



THANKYOU!



Fleet Management of Classification Society

SHIMIZU Satoshi
Manager
Survey Department

1

Contents

**Part I: Fleet Management in terms of
compliance with mandatory
requirements**

**Part II: Fleet Management based on
external feedback such as PSC**

2

Part I: Fleet Management in terms of compliance with mandatory requirements

3

What is a classification society?

- What is a classification society? (from Wikipedia)

- A ship classification society is a non-governmental organization that establishes and maintains technical standards for the construction and operation of ships and offshore structures.
- Classification societies certify that the construction of a vessel comply with relevant standards and carry out regular surveys in service to ensure continuing compliance with the standards.
- A classification certificate issued by a classification society recognized by the proposed ship register is required for a ship's owner to be able to register the ship and to obtain marine insurance on the ship, and may be required to be produced before a ship's entry into some ports or waterways, and may be of interest to charterers and potential buyers.
- To avoid liability, classification societies explicitly disclaim responsibility for the safety, fitness for purpose, or seaworthiness of the ship, but is a verification only that the vessel is in compliance with the classification standards of the society issuing the classification certificate.

4

■ Mission of classification societies

- ◆ Safety of life and property
- ◆ Preservation of the marine environment

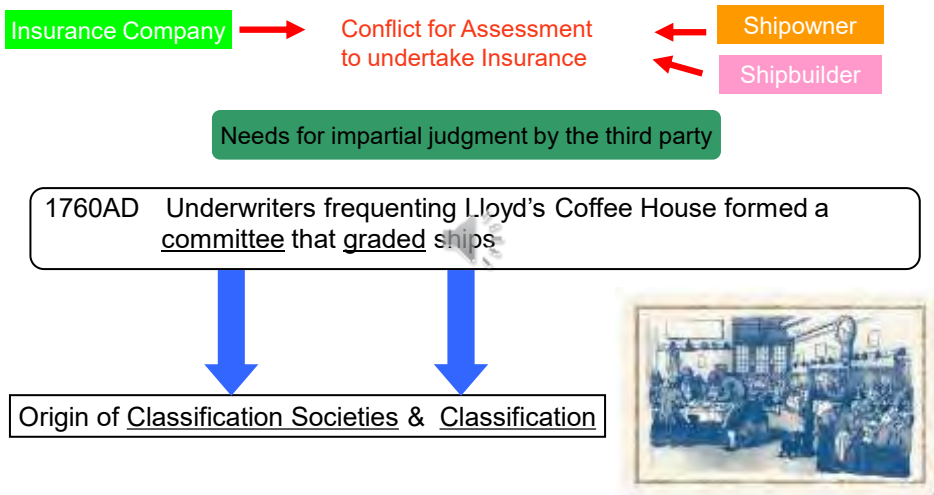
■ In order to achieve the mission, conducts:

- ◆ Classification service
 - Survey ships; Issue a class certificate
 - Register & publish the register of ships
 - Develop & publish the classification rules
- ◆ Statutory service
 - Basing on an authorization from a flag Administration
 - Survey (statutory survey) ships, issue a statutory certificate

■ Ensure impartial and fair classification

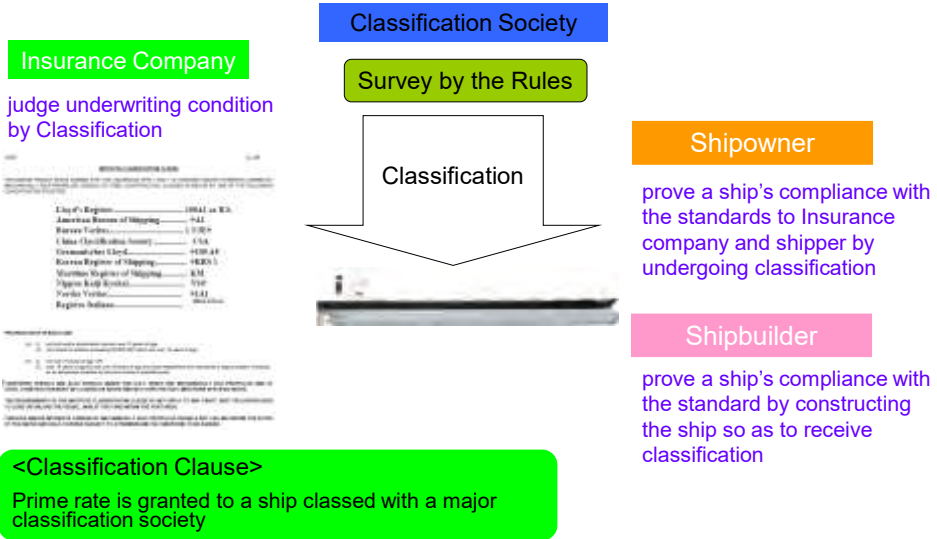
- ◆ Independence from ship owners, ship builders, insurance companies, etc.
- ◆ Development & amendment of class rules in transparent manners
- ◆ Surveys in accordance with the published class rules and international conventions

History of Classification Societies



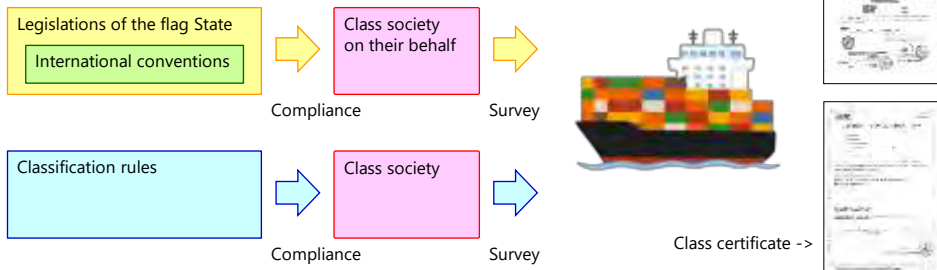
Set the Standard: "Classification Rules"

Conduct survey to confirm that a Ship complies with the Rules and grant Classification



■ Legislation applicable to ships

- ◆ Legislation of the flag State
 - which to include the international conventions
 - ▶ Comply with the international conventions
 - ▶ Comply with the special requirements of the flag
 - Recognized organization (RO) to conduct surveys on their behalf
- ◆ Classification rules? - These are NOT legislation



The NK's Mission



ClassNK is dedicated to ensuring the safety of life and property at sea, and the prevention of pollution of the marine environment.

To achieve this mission ClassNK will:

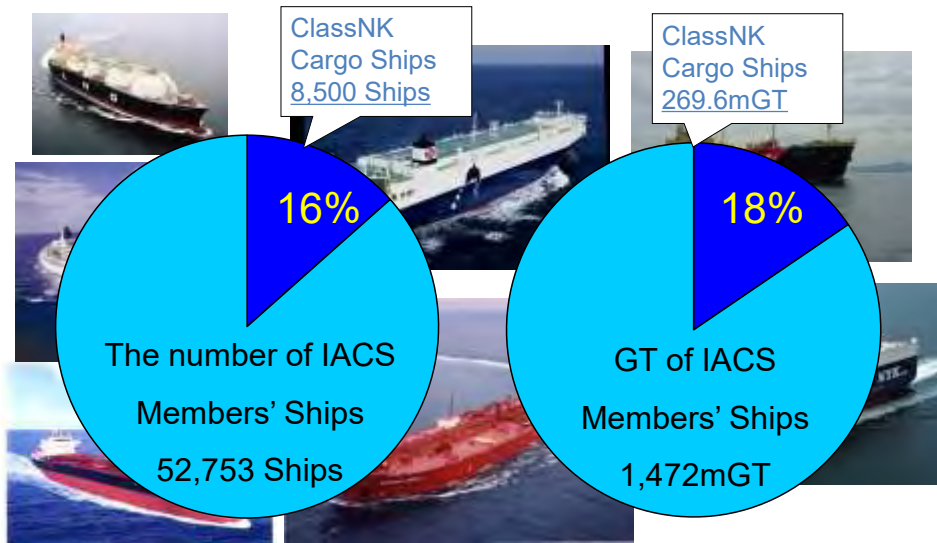
Focus on delivering the highest quality classification services, by the highest quality personnel, while maintaining its totally independent third party, non-profit status.

Focus on the development of relevant Rules, procedures and guidance, and maintain and develop its commitment to scientific and technological research and development.

Maintain and develop its global operations in line with the needs of those using its services.

9

The NK's Market Share



10

■ IACS: International Association of Classification Societies

- ◆ Established in 1968
- ◆ Members (12 -> 11)
 - ABS (USA)
 - BV (France)
 - DNV (Norway)
 - LR (UK)
 - NK (Japan)
 - RINA (Italy)
 - China Classification Society (China)
 - Croatian Register of Shipping (Croatia)
 - Indian Register of Shipping (India)
 - Korean Register (Korea)
 - Polish Register of Shipping (Poland)
 - ◆ ~~Russian Maritime Register of Shipping (Russia)~~



■ Purposes of the IACS are;

- ◆ to work towards the safety of life and property, and towards the preservation of the marine environment
- ◆ to communicate among member societies
- ◆ to co-operate with the relevant international organizations, administrations
- ◆ to co-operate with the world marine industries

■ IACS resolutions

- ◆ Unified Requirements (UR)
 - Requirements for hull, machinery, etc. to unify among members
- ◆ Common Structural Rules (CSR) - for oil tankers and bulk carriers
 - Set of requirements of hull construction to unify among members
- ◆ Unified Interpretations (UI)
 - Interpretation of the international conventions to unify among members
- ◆ Recommendations (REC)
- ◆ Procedural Requirements (PR)

What is a survey by a class?

■ What is a survey by a class?

- ◆ Compliance with the standards
 - Plan review
 - Site surveys
- ◆ Objective judgement

■ What kind of surveys by a class?

- ◆ Classification survey
 - Compliance: Class rules
- ◆ Statutory survey (when delegated)
 - Compliance: International conventions
 - Compliance: Flag requirements



Classification rules



Convention (SOLAS)



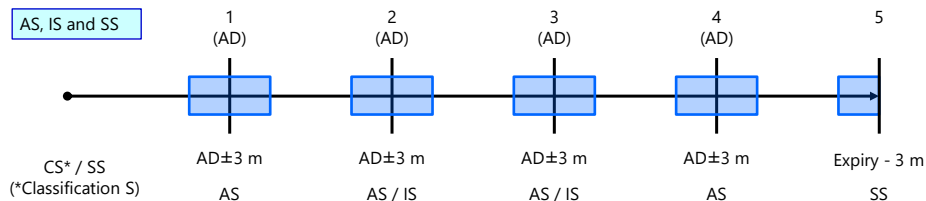
■ NK surveyor's capacity

- ◆ Ensure safety (many risks on the site)
- ◆ Neutral 3rd party
- ◆ Assist and advise the applicant

Classification Surveys

■ Intervals of class maintenance surveys

- ◆ Certificate of Classification is valid for 5 years. (AS & IS; endorse, SS; renewal)
- ◆ Anniversary Date (AD) is the day corresponding to the expiry date of the Classification Certificate, excluding the expiry date of the Classification Certificate.
- ◆ AS: Within 3 months before or after each AD.
- ◆ IS: At the time of the 2nd or the 3rd AS. IS to be carried out in lieu of AS.
- ◆ SS: Within 3 m before the expiry of the Classification Certificate (next due: +5 y).



One example;

CS: 14 Jul 2023

AS: 13 Apr - 13 Oct 2024,

Cert: 13 Jul 2028

AS/IS: 13 Apr - 13 Oct 2025,

AD: 13 Jul

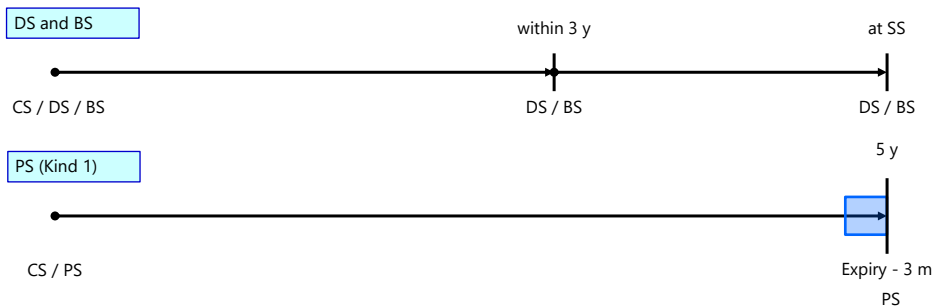
AS/IS: 13 Apr - 13 Oct 2026,

SS: 13 Apr - 13 Jul 2028

AS: 13 Apr - 13 Oct 2027

■ Intervals of class maintenance surveys

- ◆ DS: within 36 months and concurrently with SS
- ◆ BS: within 36 months and concurrently with SS
- ◆ PS: within 5 years (Propeller shaft Kind 1)
 - Water lubricated; shaft withdrawal max 6 years
 - Oil lubricated; shaft withdrawal max 15 years, except PSCM (Propeller Shaft Condition Monitoring)



■ Condition of Class

- ◆ During a class maintenance survey, when a deficiency is found (such as damage, defect or breakdown affecting the ship's Classification), as a first course of action, it should be rectified prior to departure of the ship from port.
- ◆ However, there are situations where a deficiency cannot be rectified prior to departure and the deficiency is judged by the attending Surveyor to be of a nature that does not require immediate permanent repair, the attending Surveyor may agree to deferment of the permanent repair.
- ◆ In order to maintain the Ship's Classification and to control the deficiency during the period of deferment, a suitable 'Condition of Class' is imposed by the Surveyor, with a specific limit date by which the deficiency is to be rectified.

Statutory survey procedures (same as class surveys)

- ◆ Reviewing plans (objective judgement)
- ◆ Site surveys (objective judgement)
 - Manufacturer
 - Newbuilding shipyard
 - Ports, repair yards (dry dock)
- ◆ Issue / endorse statutory certificates
 - Tonnage
 - Load Line
 - SOLAS Safety Construction
 - SOLAS Safety Equipment
 - SOLAS Safety Radio
 - MARPOL Oil (Annex I)
 - MARPOL Sewage (Annex IV)
 - MARPOL Air pollution (Annex VI)
 - MARPOL Energy efficiency (Annex VI), etc.



SOLAS convention

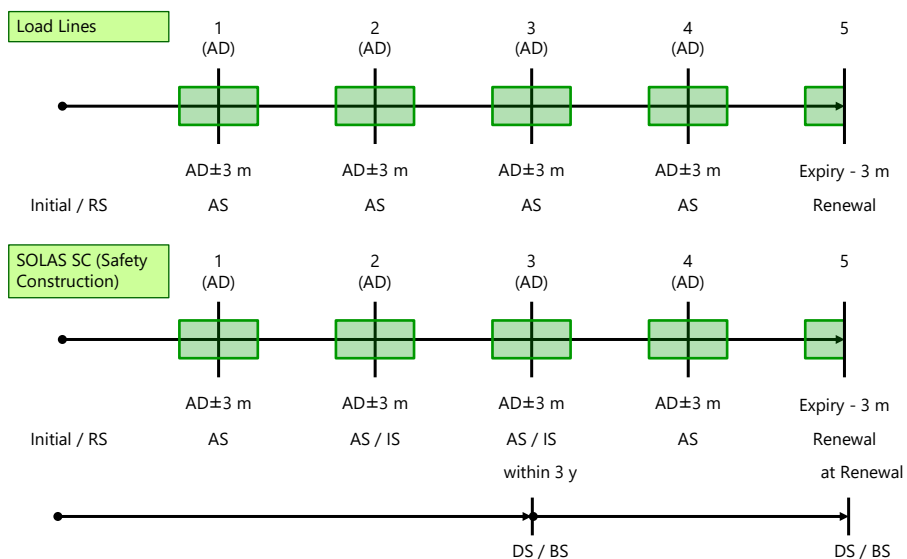


MARPOL Convention



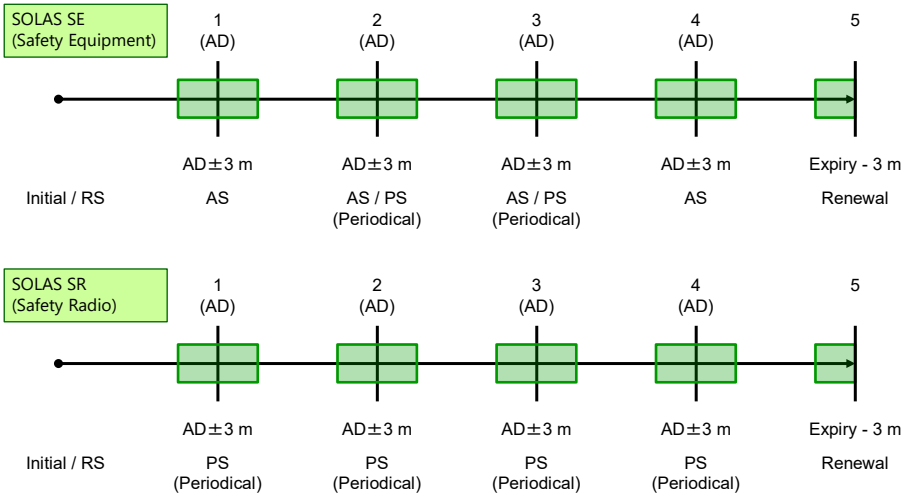
SOLAS SE survey (Lifeboat)

Survey intervals



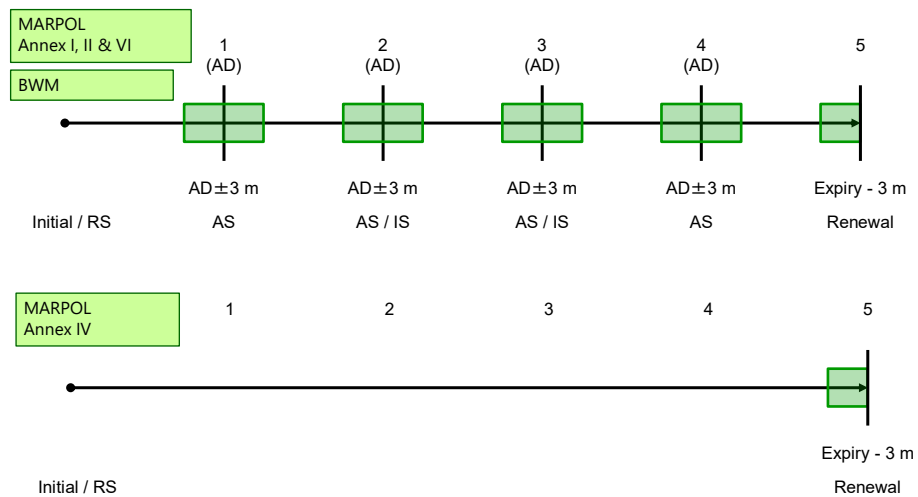
Statutory Surveys

■ Survey intervals

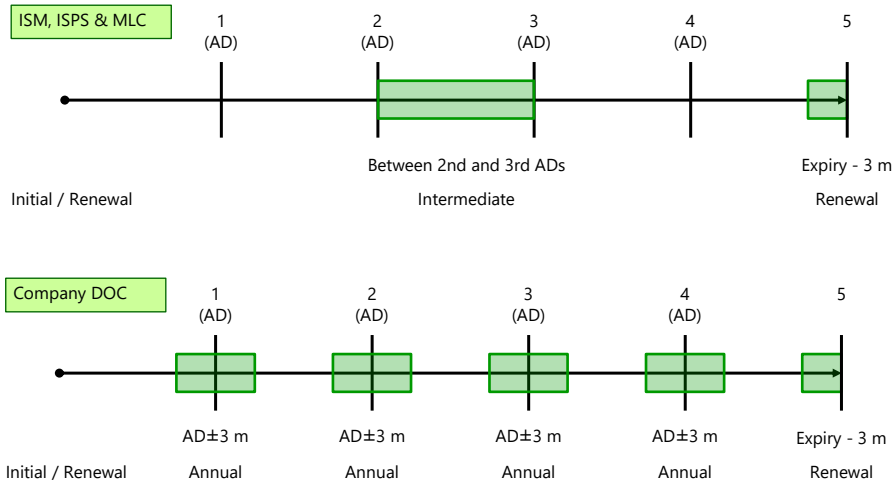


Statutory Surveys

■ Survey intervals



■ Intervals of Audit, etc.



■ Regulations for the Classification and Registry of Ships

- ◆ Maintenance of Class
 - ▶ A registered ship is to be subjected to the class maintenance surveys by the Surveyors, for maintenance of class, in accordance with the Ships Rules.
- ◆ Application for Classification and Surveys
 - ▶ Classification will be undertaken after an application for survey for classification has been made.
 - ▶ An application for survey for classification is to be submitted by the manufacturer of the ship under construction and by the owner of the ship in service.
 - ▶ An application for surveys for maintenance of class is to be submitted by the owner or the master of the ship.



The similar provisions are specified in our “Regulations for the Issue of Statutory Certificates”.

■ Conditions of service

- ◆ General
 - Services, information or advice are provided on the basis:
 - ▶ The ship shall be properly maintained and operated under the sole responsibility of the ship owner at all times between the surveys ...
 - ▶ It is the responsibility of the ship owner to report any incident or event which may affect the classification
 - ▶ Any documents issued pursuant to surveys reflect the condition of the ship and/or the installations as at the time of the survey
 - ▶ Any documents, information or advice issued or provided by the Society shall not constitute a representation of seaworthiness, fitness, etc. beyond any representation set forth in the Rules.
- ◆ Independence
 - The Society acts independently in the performance of its services and

■ Conditions of service

- ◆ Confidentiality
 - All documents and information shall be confidential.
Prior consent of the party providing such documents for disclose.
May be disclosed by the court order, etc.
 - (except) Public Information and available to any interested party
 - (1) Information published in the Register of Ships, including due dates of periodical surveys
 - (2) Information on transfers, changes, suspensions, withdrawals of class
 - (3) Information related to (2) above, including those on all overdue surveys, overdue Condition of Class, operating conditions or operating restrictions
- ◆ Liability
 - The Society shall not be liable for any loss, damage or expense ...
- ◆ Compensation
 - If is proved to have been any negligent act ... the Society will pay compensation for ... not exceeding the amount of any fee collected ...
- ◆ Proper law and jurisdiction
 - Tokyo district court and Japanese law

The owner's obligation

In principle, compliance with Class Rules as well as Statutory Regulations is the owner's obligation and it is assumed that the due dates of class maintenance surveys and statutory certificates periodic surveys are properly managed by the owner or the management company.

- If the ship's any class maintenance surveys and/or conditions of class are overdue, the owner will be notified that the Class Certificate becomes invalid, and classification is automatically suspended.
- When the ship's class has been suspended for a period of six (6) months due to overdue surveys and/or conditions of class, the ship's class is to be withdrawn.
- Class Suspension, Reinstatement, Withdrawal and Reassignment are published on a timely basis.



These procedures are based on IACS PR1C.

NK-SHIPS

NK-SHIPS

NK-SHIPS is a free, internet-based online information service for the owners and operators of NK-classed ships or ships whose ISM/ISPS/MLC are registered with NK.

NK-SHIPS users can retrieve important information vital for ship maintenance and management, such as survey status for class and statutory survey items and due dates, and ISM/ISPS audit /MLC inspection status that assist in the maintenance and management of ships, 24 hours a day, from anywhere in the world via the internet. In addition, NK-SHIPS users can apply via the online web application service for surveys and audits /inspections linked with NK-SHIPS information.



Supports effective management of survey and audit plans for fleets

NK-SHIPS users can effectively plan and prepare for surveys and audits by easily identifying information such as the dates for upcoming surveys and audits for individual ships in their fleet.

Prevents overdue surveys and audits

The Due Date Notice E-mail Service is a mailing service for NK-SHIPS users who can register their email address in order to receive notification about scheduled dates for surveys and audits.

The service helps prevent overdue surveys and audits by issuing a maximum of 4 notification emails between 3 months to 2 weeks prior to scheduled surveys and audits.

Users can register an unlimited number of e-mail addresses and the wide range of settings mean that users can specify the vessel, when they wish to receive the due date notice and whether to display information.

Completely paperless

Ship Name	Survey Type	Date	Status
12345678	Annual	2013-01-15	Completed
12345678	Special	2013-02-20	Completed
12345678	Intermediate	2013-03-10	Completed
12345678	Annual	2013-04-05	Completed
12345678	Special	2013-05-15	Completed
12345678	Intermediate	2013-06-01	Completed
12345678	Annual	2013-07-10	Completed
12345678	Special	2013-08-20	Completed
12345678	Intermediate	2013-09-05	Completed
12345678	Annual	2013-10-15	Completed
12345678	Special	2013-11-20	Completed
12345678	Intermediate	2013-12-10	Completed

All previously issued survey records and certificates can be viewed and downloaded from NK-SHIPS, removing the need for any paperwork.

NK-SHIPS mobile application has been developed and the ship's survey management information can be available on a smartphone or tablet.

Summary of Part I

- An ocean going ship needs to be registered with a classification society mainly for insurance reason and a classification society usually conducts statutory certification on behalf of the flag Administration.
- To maintain the ship's classification, class maintenance surveys are to undergo in a timely manner and class maintenance surveys are linked with periodic surveys of the ship's Safety Construction Certificate.
- While ensuring that the ship's class maintenance surveys are carried out properly is primarily to the owner's responsibility, NK monitors the due dates of each ship of NK fleet and provides appropriate means to plan and prepare for surveys to the owner.

Part II: Fleet Management based on external feedback such as PSC

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PSC

- Port State Control (PSC) is conducted by a port state to verify whether foreign ships visiting its own ports comply with the requirements of international conventions such as Load Line, SOLAS, MARPOL.
- Although the ultimate responsibility for implementing conventions is left to the flag states, port states are entitled to control foreign ships to ensure that any deficiencies found are rectified before they are allowed to sail.
- Port State Control is considered to be complementary to flag state controls.

Due to the nature of the PSC, PSC inspections and surveys by classification societies are not always linked.

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Major PSC MoUs publish an annual report to provide an overview of those activities and statistics.



(a) Tokyo MoU



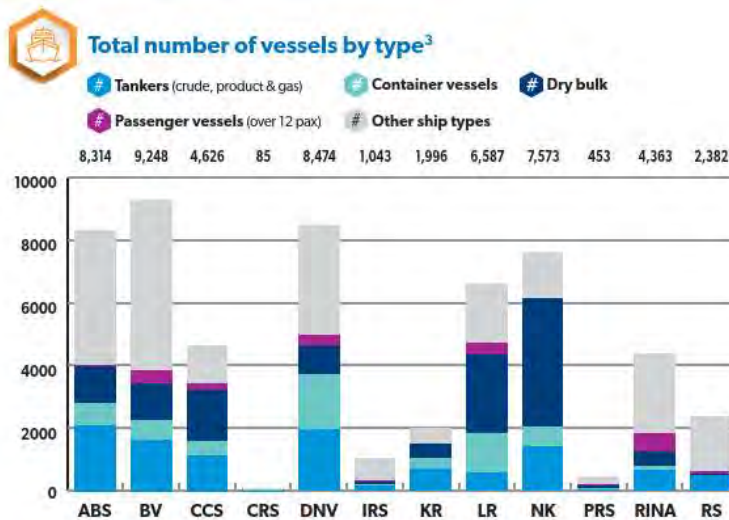
(b) Paris MoU



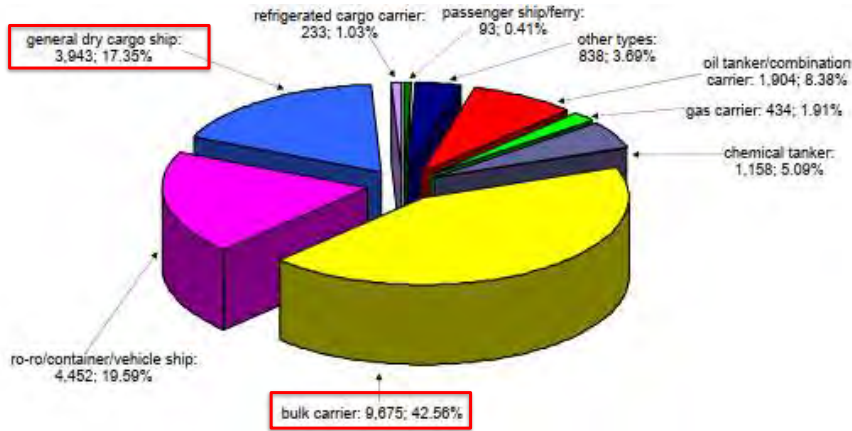
(c) USCG



NK's PSC performance is available to all stakeholders in the shipping industry.

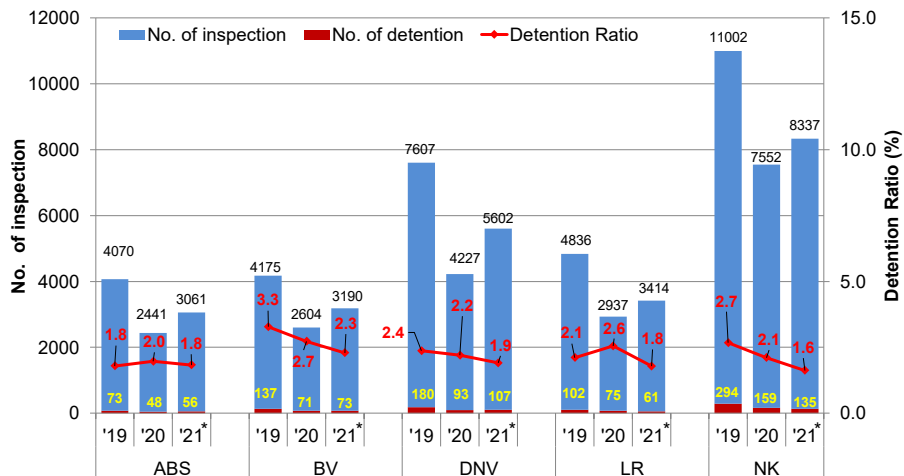


*From IACS Annual Review 2021



Type of Ship Inspected in the Asia-Pacific Region (2021)*

*From Tokyo MOU Annual Review 2021



Number of inspections, detentions and detentions ratios in the Asia-Pacific Region 2019-2021 (Major Class Societies)

IACS PR No.8 “Procedure for Responding to Port State Control”

“Societies shall **co-operate** during port state control inspections by:

- (a) *Liaising with port state control authorities to ensure that class surveyors and/or auditors are called in as appropriate when deficiencies related to class and statutory matters are found.*
- (b) *Liaising with port state control officers to ensure uniformity of interpretation of class and statutory requirements.*
- (c) *Providing port state control officer, upon request, with background information, extracts from reports pertinent to the inspection, and details of outstanding conditions of class and statutory items.*
- (d) *Liaising with the flag state in accordance with prior agreement, and the owner’s representative and/or company, in order to ensure that both parties are fully aware of actions being taken that affect safety-related matters of either a class or statutory nature.”*

IACS PR No.8 “Procedure for Responding to Port State Control”

“(i) *Reported hardware and management system deficiencies are to be examined promptly and the following actions are to be taken:*

- (a) *The attending surveyor and/or auditor should provide detailed comments on any class or statutory deficiency,*
 - (b) *In accordance with prior agreement, the flag state is to be provided with a summary of the deficiencies and the actions taken.*
- (ii) *A **database** of deficiencies reported by port state control officers shall be maintained.*
- (iii) *The information contained on the **database** is to be such that recurring violations can be readily identified by type and ship, and is to include information on actions taken.”*

- Whenever NK receives a PSC inspection report from a Port State Administration, especially in case of detention, an investigation is carried out at NK Head Office.
- The shipowner and flag Administration are then informed of the results of the investigation as necessary, and the results are also input into a dedicated database on PSC.
- Effective use is also made of this information through the publication of the Annual Report on Port State Control, and other materials by NK.

Collection of PSC Data (especially, detention cases)

NK endeavors to collect PSC inspection data of NK fleet as much as possible.

- NK Surveyors are not always asked to visit ships in connection with PSC inspections, even when detained.
- To find unknown PSC detention cases of NK fleet, NK periodically views following PSC Databases of each PSC MoU:
 - Tokyo MOU “APCIS”
 - Paris MoU “THETIS”
 - Black Sea MOU “BSIS”
 - Indian Ocean MOU “IOCIS”
 - Vina del Mar “CIALA”
 - Mediterranean MOU “MEDSIS”

Annual Report on Port State Control

http://www.classnk.or.jp/hp/en/info_service/psc/

【Contents】

- **NK Fleet PSC Statistical Data**
- **Regional MOU Activities**
- **Major Amendments to Conventions**
- **Statistical Data for PSC relating to ISM Code**
- **Analysis of Deficiencies related to ISM Code**
- **Statistical Data of Tokyo MOU, Paris MOU**



NK's Annual Report on PSC is distributed to all companies who manage NK classed ships and available on our website.

ClassNK PSC Bulletin* (* service provided on an occasional basis)

ClassNK PSC Bulletin:

- ✓ **Provides information on particularly notable or increasing findings pointed out during PSC inspections of NK classed ships; and**
- ✓ **Helps to prevent occurrence of the similar finding and best prepare for PSC inspections.**



ClassNK PSC Bulletin issued so far is available on our website.

In-house Training at NK Service Sites

ClassNK Survey Department periodically visits our survey site office for feedback on PSC as well as information exchange.

- Considering that the travel restrictions are being relaxed globally, it has been resumed visiting our survey site office. In this September, visiting our survey site offices in Türkiye and Greece was achieved.
- In addition, NK will resume courtesy visiting to PSC Office in several port states, such as Australia, USA.



In-house training @ NK Istanbul in Sep. 2022

NO	DATE	SHIP	DEFICIENCY	STATUS	REMARKS
19	2022	ANTWERP	DEF 1008	01	Power generating systems for the ... Generators are operated every 24 hours ...
19	2022	ANTWERP	DEF 1009	01	Deficiencies related to the ...
19	2022	ANTWERP	DEF 1010	01	Deficiencies related to the ...
19	2022	ANTWERP	DEF 1011	01	Deficiencies related to the ...
19	2022	ANTWERP	DEF 1012	01	Deficiencies related to the ...
19	2022	ANTWERP	DEF 1013	01	Deficiencies related to the ...
19	2022	ANTWERP	DEF 1014	01	Deficiencies related to the ...
19	2022	ANTWERP	DEF 1015	01	Deficiencies related to the ...
19	2022	ANTWERP	DEF 1016	01	Deficiencies related to the ...
19	2022	ANTWERP	DEF 1017	01	Deficiencies related to the ...
19	2022	ANTWERP	DEF 1018	01	Deficiencies related to the ...
19	2022	ANTWERP	DEF 1019	01	Deficiencies related to the ...
19	2022	ANTWERP	DEF 1020	01	Deficiencies related to the ...

PSC deficiency information gathered in the PSC database is linked with NK-SHIPS.



Users of NK-SHIPS (NK Surveyors and customers) can look at the ship's PSC deficiency information.

The screenshot displays a PSC deficiency report for a company. It includes the following information:

- Company Name:** LUCKYSTAR MARINE (PT) LTD (SENDER) ONG & CO. PD
- Business ID:** 0073 New Ship (SENDER)
- Deficiency ID:** 000001
- Company Name:** LUCKYSTAR MARINE (PT) LTD (SENDER) ONG & CO. PD
- Business ID:** 0073 New Ship (SENDER)
- Deficiency ID:** 000001
- Deficiency Description:** The deficiency is related to the PSC deficiency.
- Deficiency Score:** 11
- Deficiency Status:** Open
- Deficiency Type:** PSC Deficiency
- Deficiency Code:** 000001
- Deficiency Date:** 01 Aug 2022
- Deficiency Time:** 06:19:00
- Deficiency Location:** 000001

PSC deficiency information gathered in the PSC database is compiled for each company and used for every company DOC periodical verification opportunity.

“For the purpose of performance evaluation, NK shall develop key performance indicators (KPI) with respect to the performance of statutory certification and related survey services in accordance with RO Code requirements and work to improve their performance by having relevant KPIs included in the quality objectives of the locations concerned.”

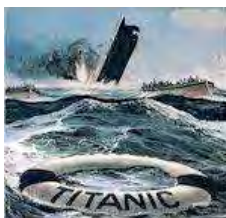


PSC performance is one of KPIs and its improvement is our quality objective.

In current PSC inspections, any technical and/or operational related deficiencies found during a PSC inspection are assessed by the PSC Officer from the viewpoint of the ISM Code.



A serious failure, or lack of effectiveness, of the implementation of the ISM Code is regarded sub-standard.



Sinking of TITANIC

Collision with iceberg
Loss of more than 1500 lives

SOLAS established and
came into force in 1933

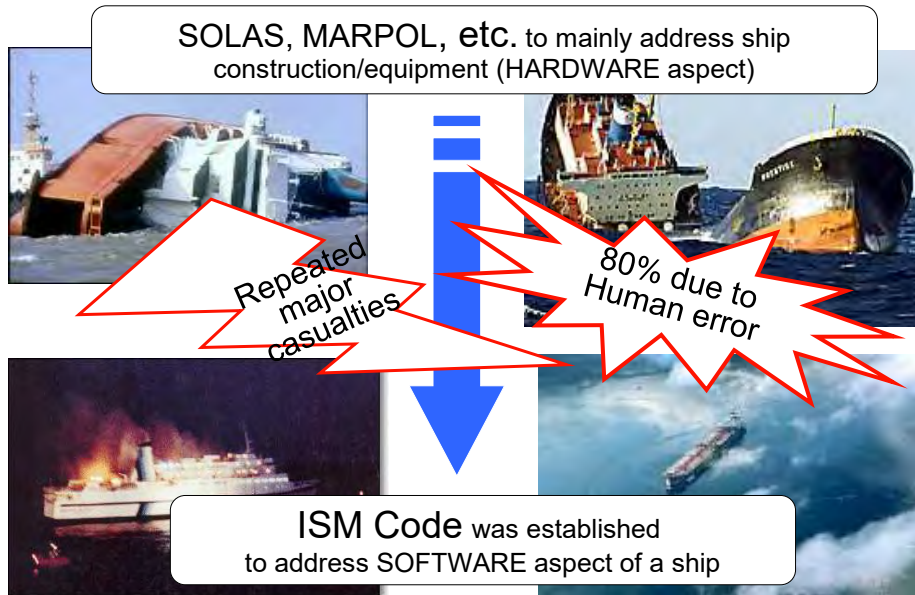
**Requirements for:
structures and equipment**



Stranding of TORREY CANYON

Crude oil spill of 120 kilotons
Disastrous marine pollution

MARPOL established and
came into force in 1979



Company

- > Establish **Policy**
- > Designate **Person responsible** for operation of SMS
- > Establish **Manual** (safety management manual)
- > Establish **Procedures** for:
 - shipboard operations,
 - emergency response,
 - maintenance, training,
 - document control,
 - corrective actions,
 - internal audit

Ship crew

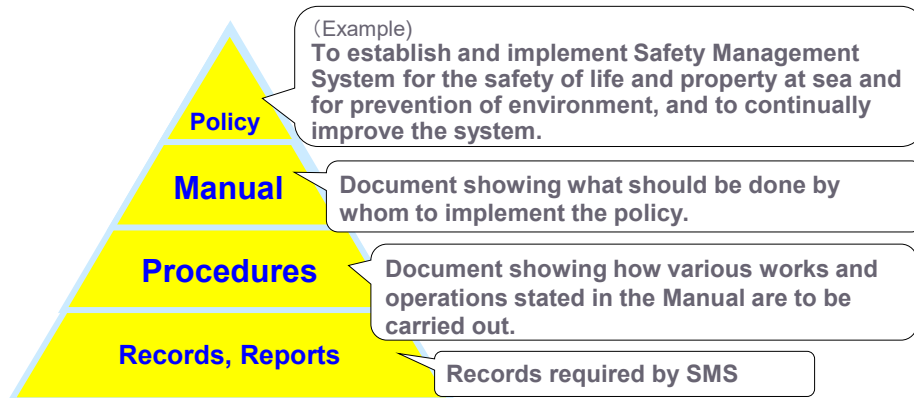


- > **Compliance with rules**
- > **Implementation of Policy** for safety & environmental-protection in accordance with **Manual, Procedures**

Flag state

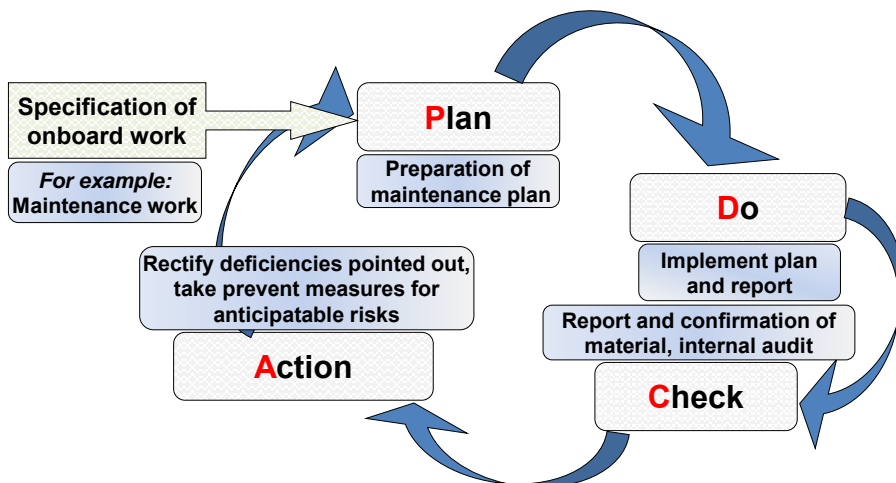
- > **Verify compliance with ISM Code requirements by Company and Ship**





Based on ISO Quality System Standard ISO9001

Plan-Do-Check-Action for improvement – PDCA cycle



Continuous and effective implementation of the PDCA cycle

To make the PDCA Cycle work

Good communication between the ships and company is indispensable for the effective implementation of the ISM Code.



Fleet quality management should be considered in the context of the implementation of the ISM Code.

Normally, a ship’s class and issuer of her statutory certificates (SOLAS, MARPOL, etc.) are same.

However, for ISM Code certification, an issuing body of the ISM Code certificate often differs from an issuing body of class and other statutory certificates.

A class may not be able to take action against its registered vessel in terms of the ISM Code.

IACS PR No.17 “Reporting on deficiencies possibly affecting the implementation of the ISM Code on board”

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

IACS PR No.17 ensures that the Organization responsible for the SMS audit of the ship and the flag Administration are notified when deficiencies possibly affecting the implementation of the ISM Code on board are identified by a surveyor.

IACS PR No.17 “Reporting on deficiencies possibly affecting the implementation of the ISM Code on board”

The following is corresponding to deficiencies possibly affecting the implementation of the ISM Code on board:

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

IACS PR No.39 “Procedure for Fleet Quality Monitoring”

Objective of IACS PR No.39 is for the identification and follow-up of vessels not being satisfactorily maintained between surveys due to lack of maintenance on hull structure, main and essential auxiliary machinery, load-line items, safety equipment, oil pollution prevention equipment, etc.



The Classification Society (CS) shall have a documented process which describes its methodology to identify or **“target”** vessels with the objective of maintaining and improving the quality of its fleet.

The CS shall define the criteria against which each vessel is assessed and the means of tracking improvement of its standard.

To identify or “target” vessels with the objective of maintaining and improving the quality of NK fleet, NK considers:

- a) PSC history
- b) Ship’s age as well as type of ship
- c) Specific instructions from the flag Administration
- d) Feedback from the Surveyors through their survey activities

Continuous monitoring of ships to target

When any survey application for a targeted ship is submitted to a survey-site office, the head office is notified automatically.



Taking into account survey contents as applied, the head office to send a caution message to a survey-site office in charge.



The Surveyor in Charge to report the ship's actual condition, in addition to his/her routine survey report.



Unscheduled Survey

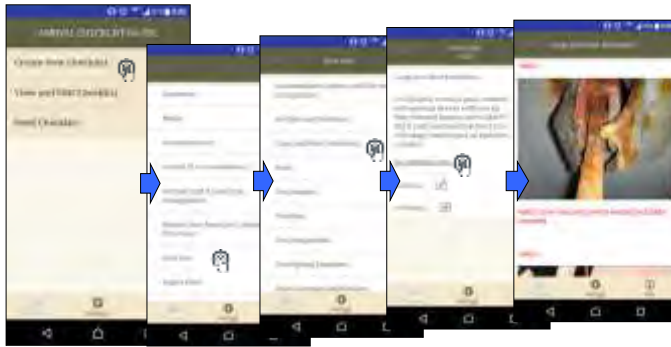
If the targeted ship's PSC Performance and/or condition are not improved, NK is to consider if such targeted ship should be subject to Unscheduled Survey Scheme.

【Unscheduled Survey(US)】

“The surveys consist of examinations of the status, etc. of hull, machinery and equipment which are carried out separately from Periodical Surveys, Planned Machinery Surveys and Occasional Survey.”

Development of mobile application for customer

- Arrival Checklist for PSC



iOS users



Android users



- Contents of Arrival Checklist are constantly being updated.
- Arrival Checklist can be customized by user per port of call.

PrimeShip-PSC Intelligence

Support System for Port State Control for Ship Management Companies

Main Functions

- Research on PSC trends of ports and countries
- Output PSC checklists based on the PSC past records
- Summary report
- Regulation calendar

Overview of PSC Intelligence



World-map



Trends of deficiencies



Checklist



Summary Report

- *In addition to the PC version of PSC Intelligence developed for ship management companies, PrimeShip-PSC Intelligence now starts has a mobile version available developed for seafarers.*

- PSC performance is one of Key Performance Indicators for IACS societies and its improvement is our quality objective.
- In current PSC inspections, any technical and/or operational related deficiencies found during a PSC inspection are assessed by the PSC Officer from the viewpoint of the ISM Code, and a serious failure, or lack of effectiveness, of the implementation of the ISM Code is regarded sub-standard.
- NK has own targeting procedures for its fleet quality management and ships' PSC performance is one of the criteria against which a ship is to be targeted.





THE INTERNATIONAL MARITIME ORGANIZATION



The United Nations specialized agency responsible for safe, secure, and efficient shipping and the prevention of pollution from ships

CREATION OF THE IMO

The Convention on the International Maritime Organization



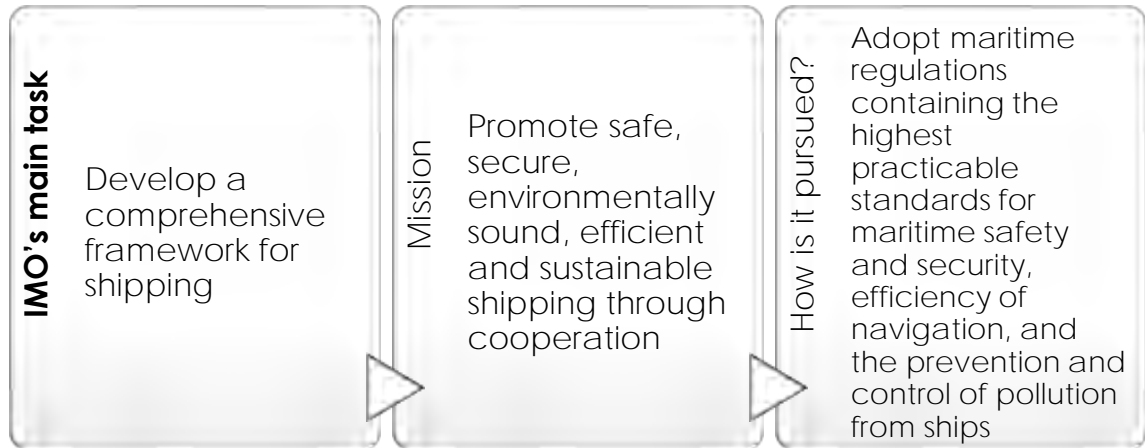
- Adopted in Geneva in 1948
- Entered into force in 1958
- First IMO meeting was held in 1959

GLOBAL COVERAGE OF IMO

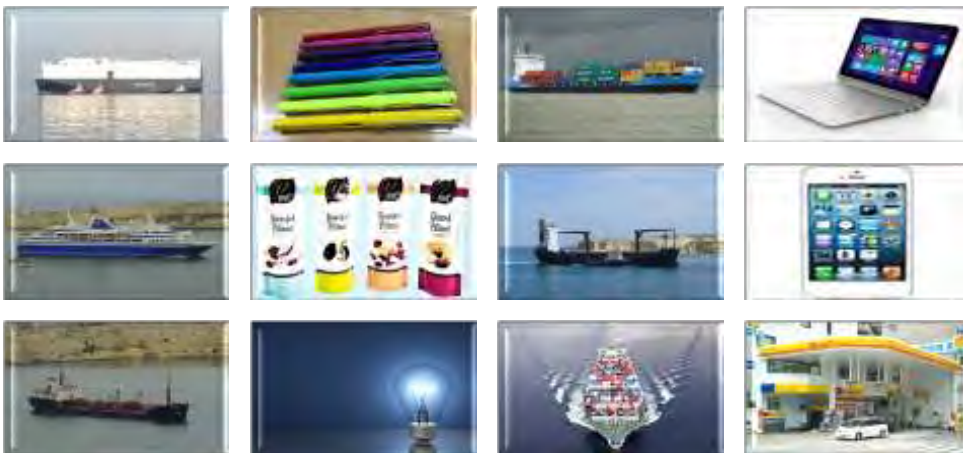
- 175 Member States and 3 Associate Members
- All major ship owning nations are represented
- All major Coastal States are represented
- More than 60 IGOs have observer status and cooperate on matters of mutual interest
- More than 80 NGOs have consultative status and contribute to the technical work of the IMO



IMO's MISSION

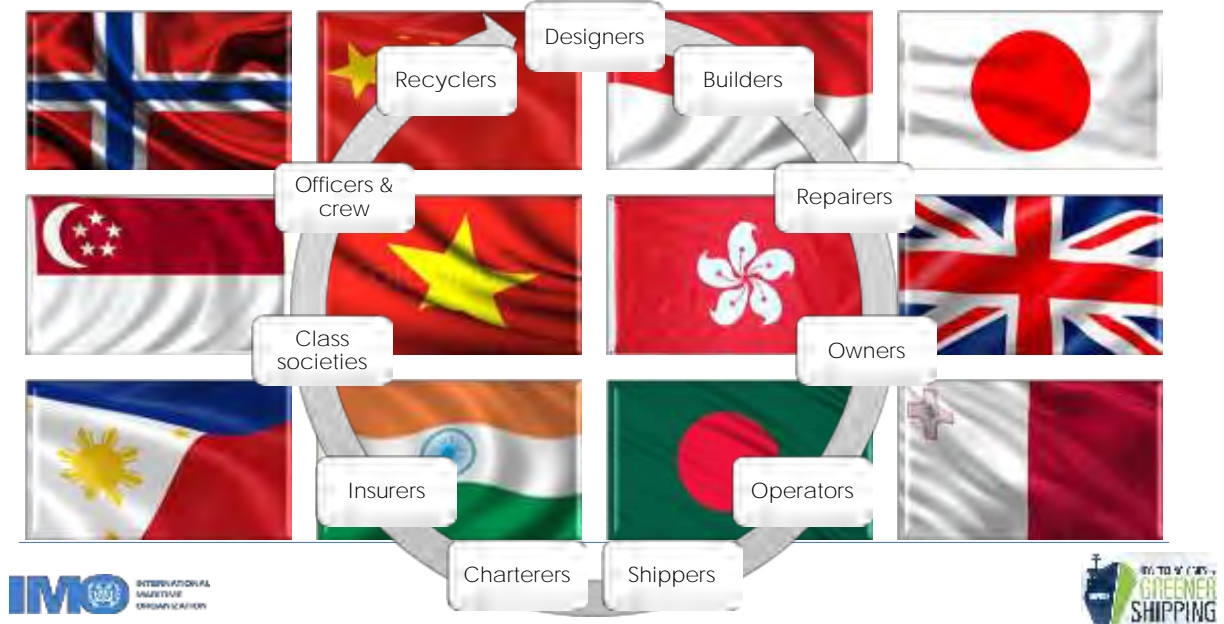


SHIPPING IS THE BACKBONE OF INTERNATIONAL TRADE



80% of goods by volume and 70% by value are carried on ships

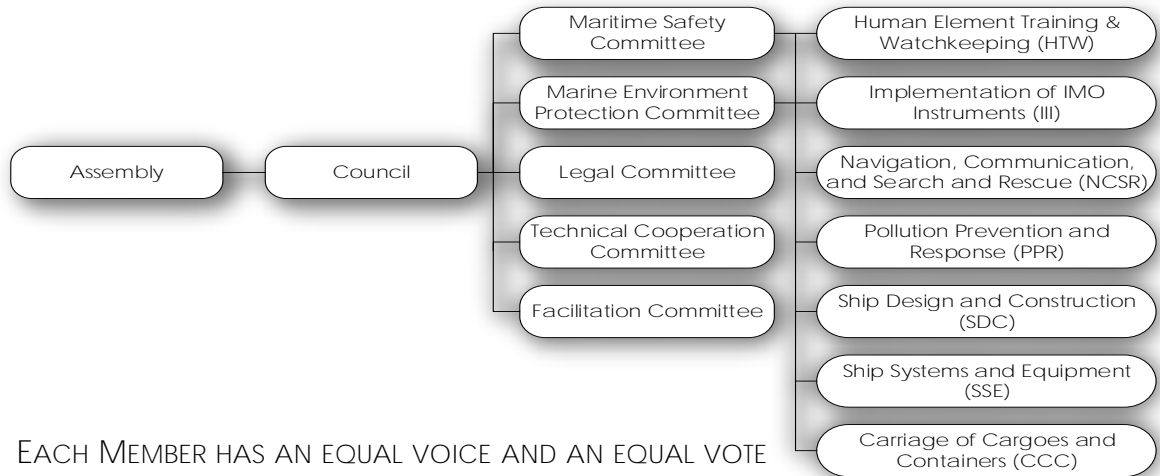
SHIPPING IS A TRULY INTERNATIONAL INDUSTRY



SHIPPING IS A TRULY INTERNATIONAL INDUSTRY



IMO REGULATORY FRAMEWORK: CONSULTATION AND CONSENSUS

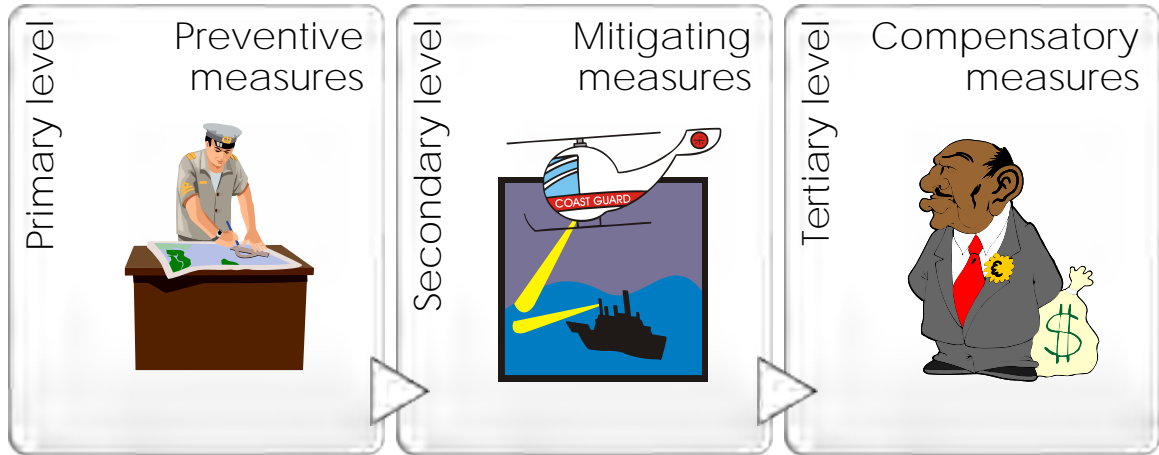


THE OUTPUT OF **IMO**'S WORK: A COMPREHENSIVE BODY OF RULES

- International conventions
- Hundreds of codes, guidelines and recommendations
- Covers almost every aspect of ships



INTERNATIONAL CONVENTIONS: THREE LEVELS OF SHIP SAFETY



THREE LEVELS OF SHIP SAFETY: PREVENTIVE MEASURES



THREE LEVELS OF SHIP SAFETY: MITIGATING MEASURES

Search and Rescue

Oil Pollution Response and Cooperation (OPRC)

OPRC-HNS Protocol

Intervention

Salvage

Wreck Removal



THREE LEVELS OF SHIP SAFETY: COMPENSATORY MEASURES

Athens Convention (Passengers and Luggage)

Civil Liabilities Convention

International Oil Pollution Compensation Fund Convention

Bunkers Conventions

Nuclear Damage Convention

HNS and HNS Protocol

Wreck Removal

Limitation of Liability for Maritime Claims



OTHER IMO CONVENTIONS

Facilitation Convention

IMO'S THREE-PRONGED APPROACH

Rule-making	Participating in the work of the committees, sub-committees, working groups and correspondence groups of IMO
Implementation and enforcement	Establishing the legal, and policy framework and institutional mechanisms for the effective implementation and enforcement of IMO instruments
Capacity building	Provide assistance to other Member States in cooperation with the IMO secretariat which are in need of capacity building

RULE MAKING: DEVELOPMENT OF MEASURES AT IMO

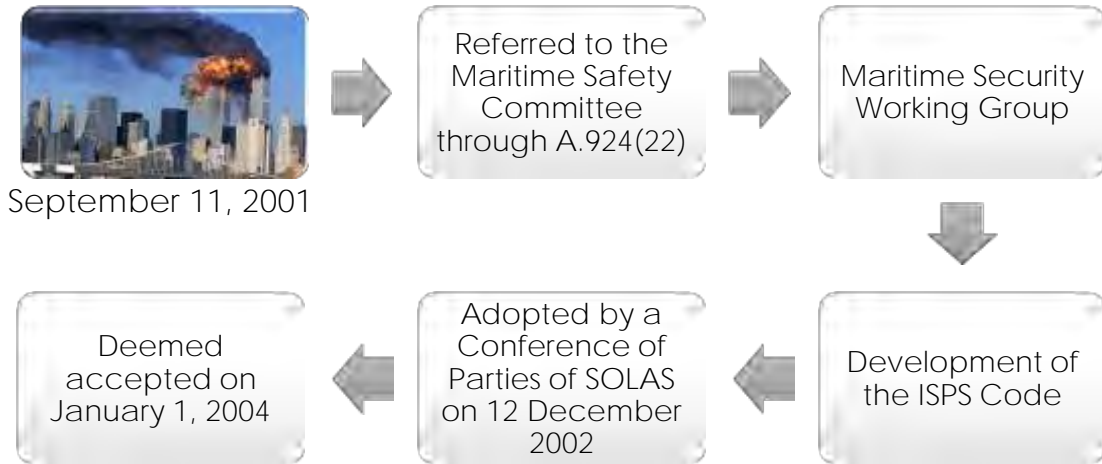
Rule-making through the different IMO bodies



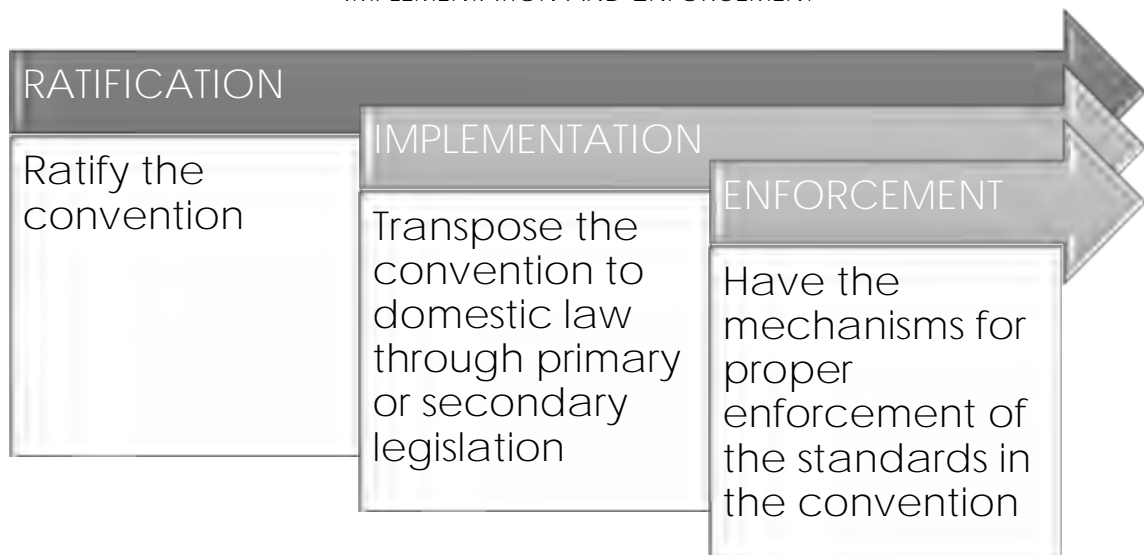
RULE MAKING: DEVELOPMENT OF MEASURES AT IMO



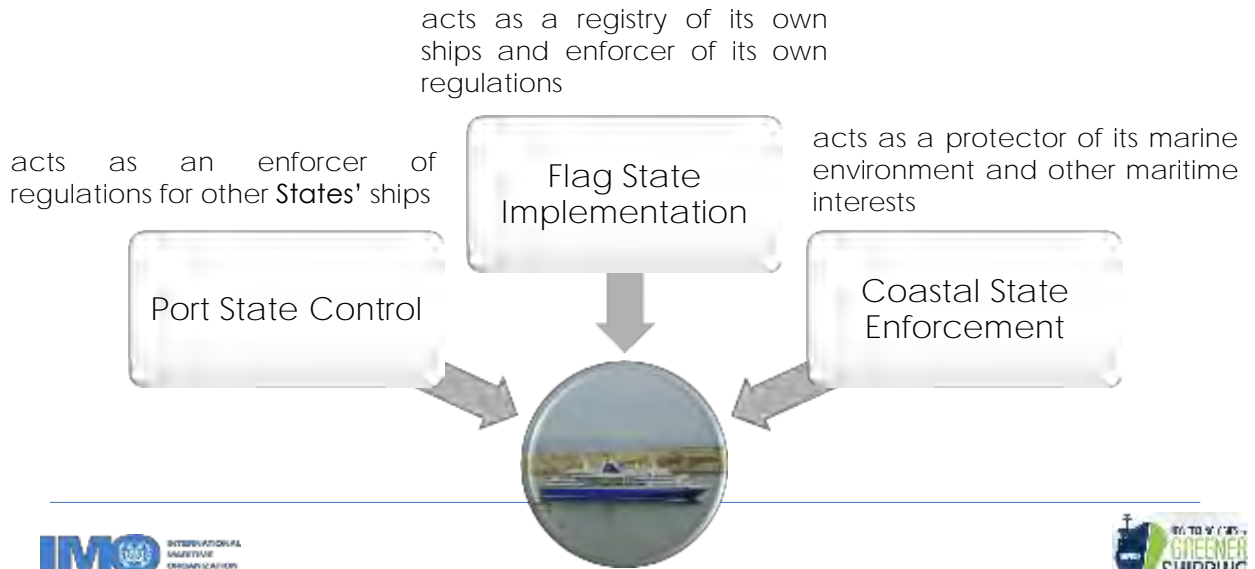
RULE MAKING: DEVELOPMENT OF MEASURES AT IMO



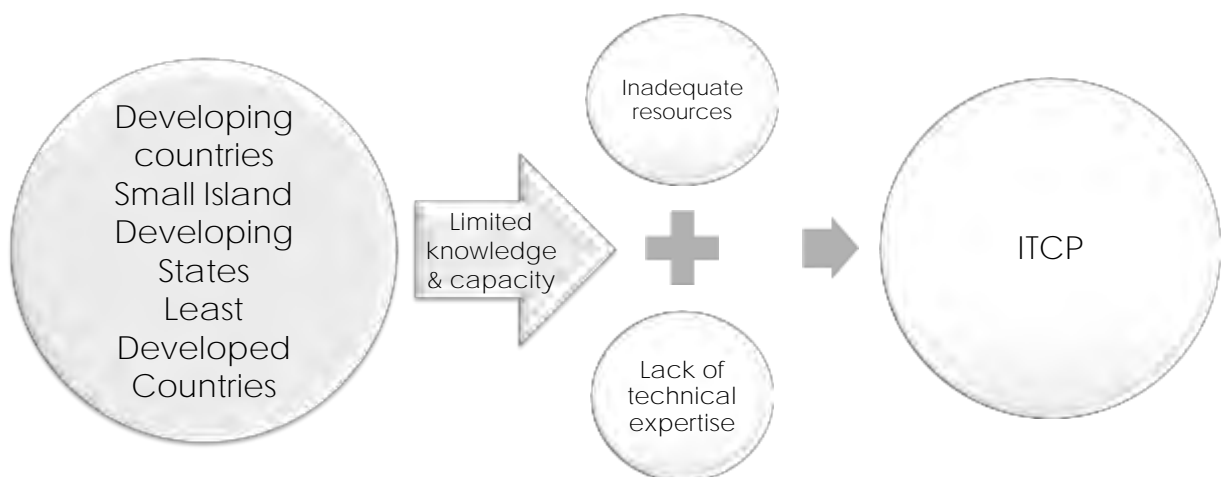
IMPLEMENTATION AND ENFORCEMENT



IMPLEMENTATION AND ENFORCEMENT



CAPACITY BUILDING: **IMO'S** INTEGRATED TECHNICAL COOPERATION PROGRAMME



THE ITCP: FORMULATION AND PURPOSE



ITCP: DELIVERY METHOD

Carried out through collaborative efforts of:



Delivered through experts or IMO officers or both working together

ITCP: FUNDING

IMO's Technical Cooperation Fund



Multi-Donor Trust Funds



Bilateral partnership arrangements



Funds from donors for long-term projects



ITCP: GLOBAL PROGRAMMES AND REGIONAL PROGRAMMES



ITCP: GLOBAL PROGRAMMES THEMATIC AREAS

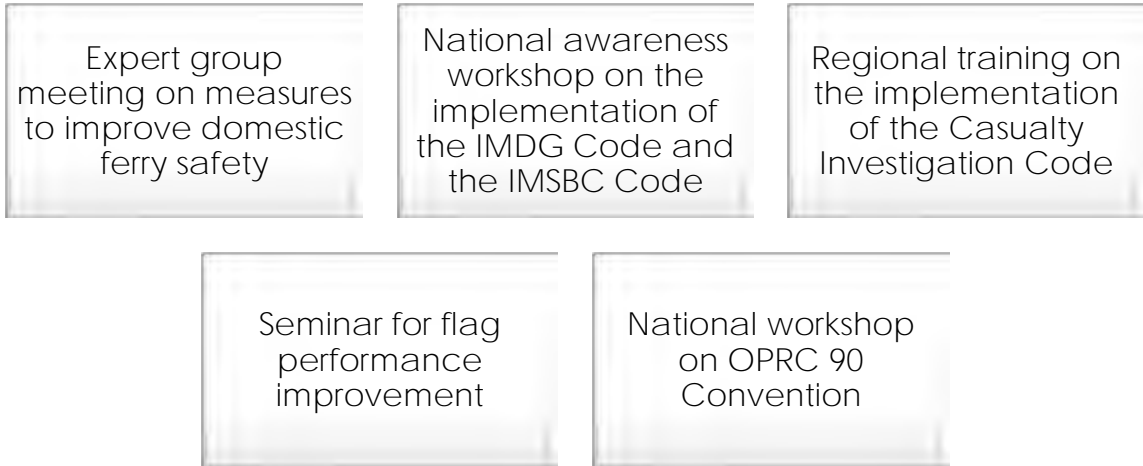
Technical advisory services	Support to Small Island Developing States and Least Developed Countries	SDG 5: Promoting gender equality in the maritime sector	Support capacity building and training of IMO's global maritime training institutions
Technical assistance for the development of NMTPs	Partnerships and emerging issues	Enhancement of maritime security	Technical assistance for the preparation for IMSAS audits
Implementation and enforcement of energy efficiency measures for ships	Preparation of IMO model courses	Promotion of the London Protocol	Support for the 2030 Agenda for Sustainable Development and the blue economy



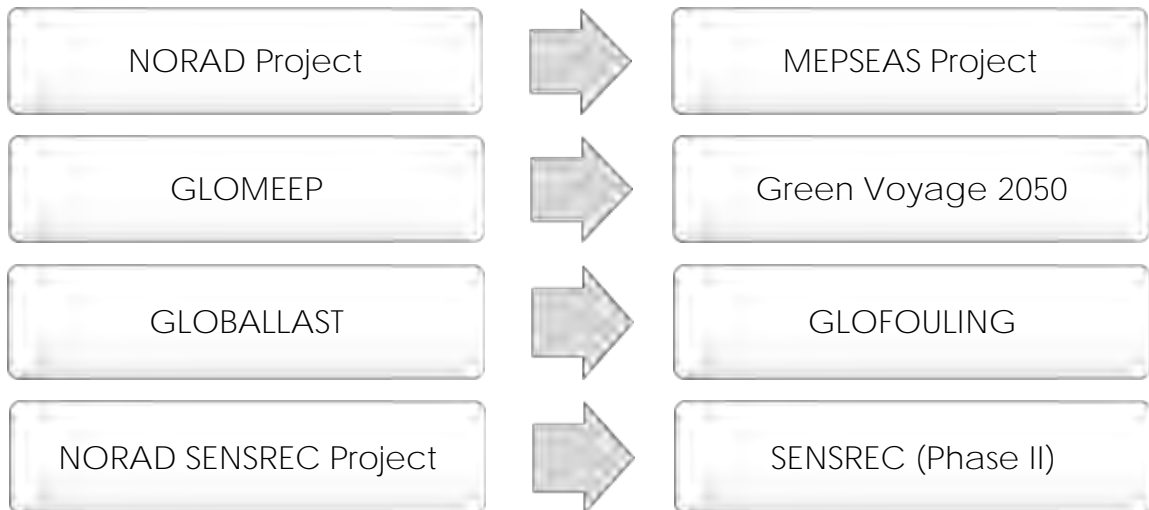
THE ITCP: REGIONAL PROGRAMME – A TARGETED APPROACH



THE ITCP: ACTIVITIES FOR REGIONAL PROGRAMMES IN ASIA 2019



THE ITCP: MAJOR PROJECTS



DELIVERY OF THE ITCP: GEOGRAPHICAL REGIONS

Africa & Arab/Mediterranean



Asia & Pacific



Eastern Europe & Western Asia



Latin America & Caribbean



Activities are delivered based on the need to promote the uniform implementation & enforcement of IMO's rules and standards.



SUPPORT TO THE ITCP: REGIONAL OFFICES



Eastern &
Southern Sub-
Region of
Africa
(Anglophone)
(Kenya)



West & Central
Sub-Region of
Africa
(Francophone)
(Cote d'Ivoire)



West & Central
Sub-Region of
Africa
(Anglophone)
(Ghana)



East Asia
(The
Philippines)



Caribbean
(Trinidad &
Tobago)



Pacific
(Fiji)



SUPPORT TO THE ITCP: GLOBAL MARITIME TRAINING INSTITUTIONS



Center for excellence for post-graduate maritime education

Center for training of specialists in international maritime law



Center for training in safety, security and environment

SUPPORT TO THE ITCP: OTHER REGIONAL MECHANISMS

Global MTCC Network (GMN)

MTCC Africa

Asia

Caribbean

Latin America

Pacific

Global Initiative (GI)

GI WACAF

GI SEA

GI China

Djibouti Regional Training Center

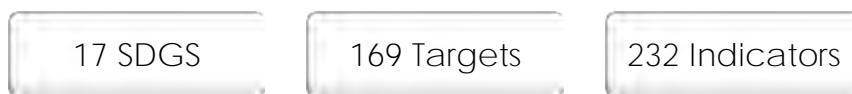
Safety & security of navigation in West Indian Ocean and Gulf of Aden

West and Central Africa Maritime Security

THE UN SUSTAINABLE DEVELOPMENT GOALS



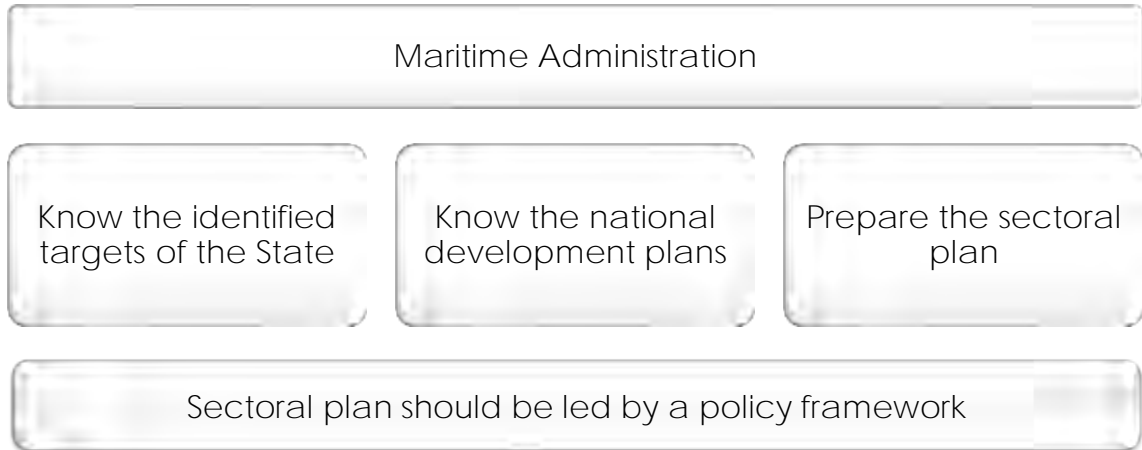
ACHIEVING THE GOALS



MEMBER STATES: RESPONSIBLE FOR ACHIEVING THE GOALS



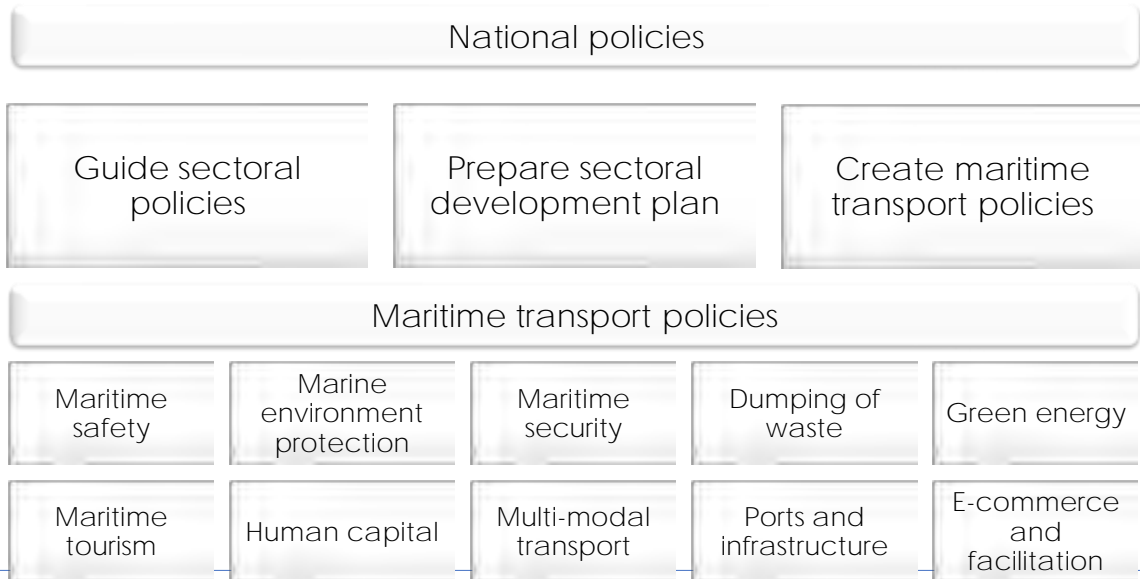
RESPONSIBILITY OF THE MARITIME ADMINISTRATION



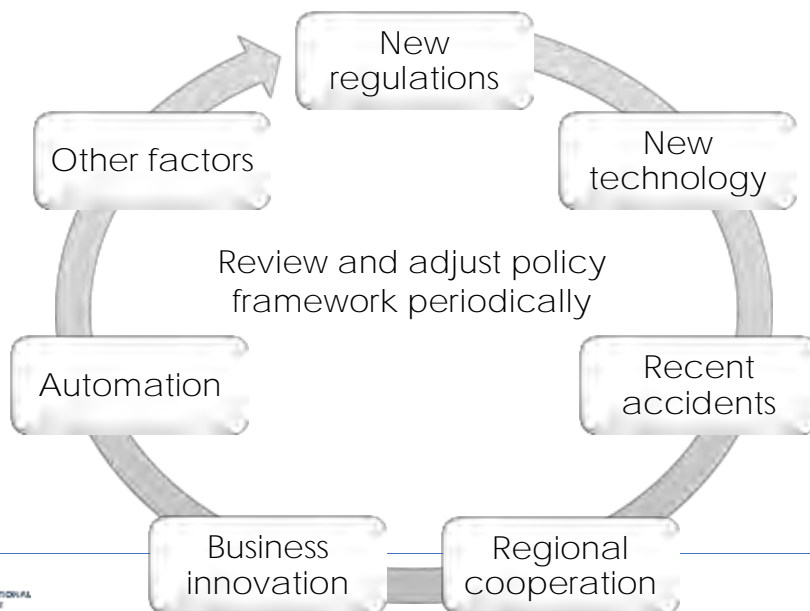
NATIONAL POLICY FRAMEWORK

Economics	Fiscal	Investments	Trade and industry	Infrastructure
Transport	Environment	Energy	Agriculture	Marine and oceans
Health	Education	Human capital	Gender	Foreign relations

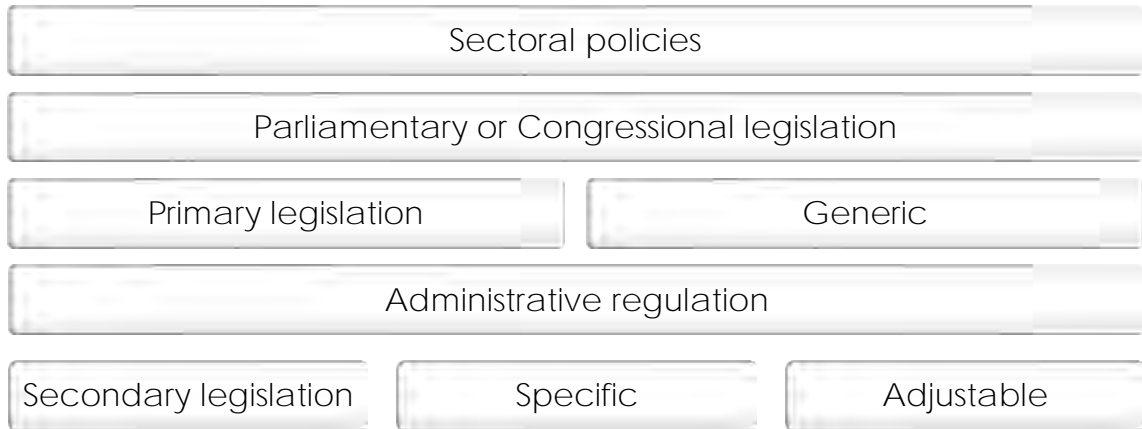
MARITIME SECTOR POLICY FRAMEWORK



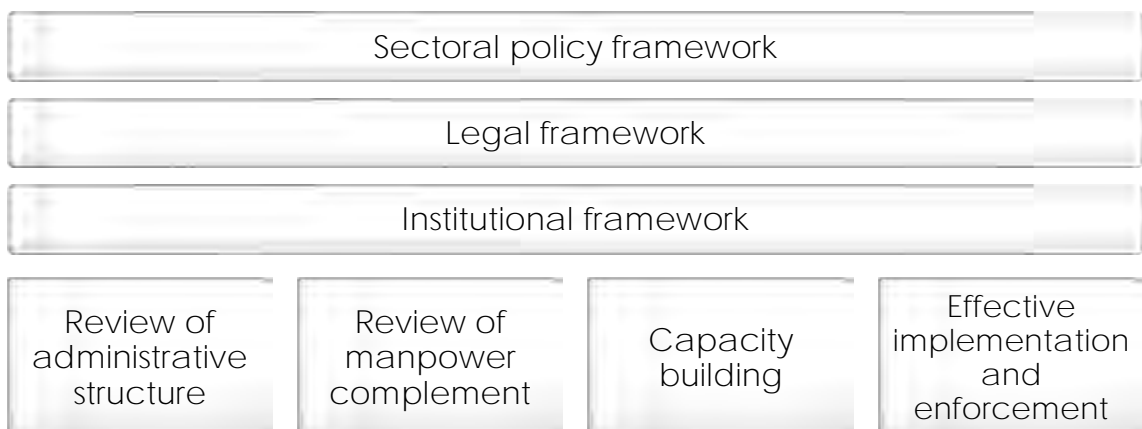
SECTORAL POLICIES: PERIODIC REVIEW



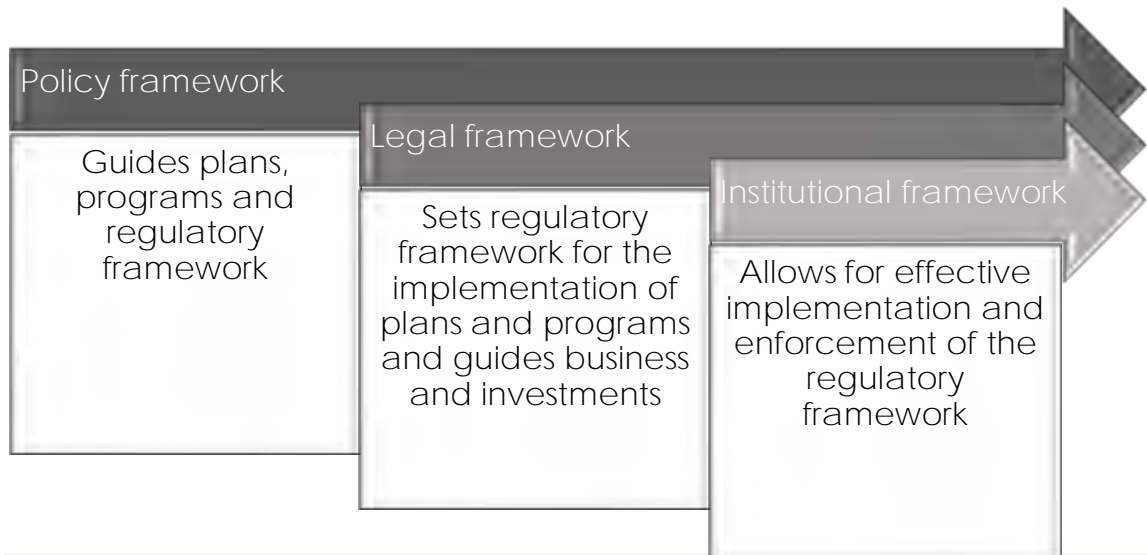
LEGAL FRAMEWORK



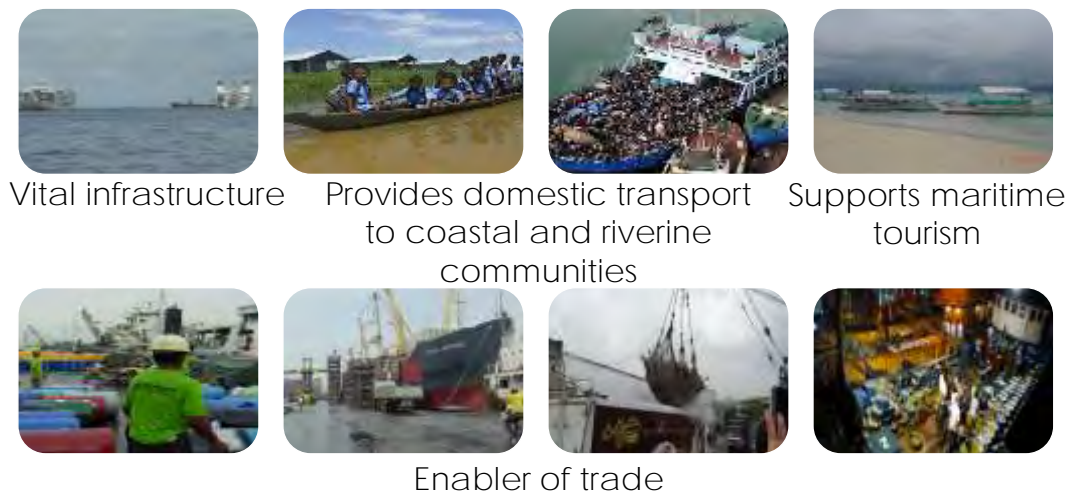
INSTITUTIONAL FRAMEWORK



KEY PILLARS FOR EFFECTIVE IMPLEMENTATION



ROLE OF SHIPPING



THANK YOU FOR YOUR ATTENTION

International Maritime Organization

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United Kingdom

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Fax: +44 (0)20 7587 3210
Email: info@imo.org
www.imo.org



twitter.com/imo

facebook.com/imo

youtube.com/imo

[linkedin.com/company/imo-union-of-maritime-states](https://www.linkedin.com/company/imo-union-of-maritime-states)

別添 6

参加者評価シート（様式）

EVALUATION QUESTIONNAIRE
Seminar for flag performance improvement
(5-9 December 2022)

Please send the completed form to secretariat@tokyo-mou.org **before Monday 12 December 2022.**

Arrangements prior to the seminar

1	Was the invitation received in good time?	Yes		No	
---	---	-----	--	----	--

2	Did you receive the information listed below about the event before your participation?				
	• on its objective and scope	Yes		No	
	• subject areas and programme	Yes		No	

3	Were the instructions on the following clear and easy to understand?				
	• profile required of participant	Yes		No	
	• completion and submission of the necessary forms	Yes		No	

4	Did you receive logistical information on:				
	• venue	Yes		No	N/A
	• travel arrangements	Yes		No	N/A
	• DSA payments	Yes		No	N/A
	• accommodation	Yes		No	N/A

During the activity

5	To cover the topics fully, was the event (<i>please check the appropriate box</i>)				
	(1) too long		(2) just right		(3) too short

6	How do you rate the event with regard to the following? (<i>tick one box in each case</i>)				
		excellent	Good	satisfactory	poor
	Venue				
	Facilities				
	Equipment				

7 How do you rate the following aspects of the materials? (tick one box in each case)				
	excellent	good	satisfactory	poor
Presentation				
Clarity				
Technical content				
Comprehensiveness				
Quantity				

8 How would you rate the following aspects of the presentations? (tick one box in each case)				
	excellent	good	satisfactory	poor
Design and structure				
Clarity				
Technical contents				
Comprehensiveness				

9 Please rate each lecturer with regard to the following (check one box in each case)

4: excellent, 3: good, 2: satisfactory, 1: poor

Day 1	Points for evaluation	4	3	2	1
PSC and its results by Mr. KUBOTA Hideo (Tokyo MOU Secretariat)	content of lecture				
	presentation				
	ability to transfer knowledge				
Flag State responsibility under maritime conventions by Mr. NODA Takuji (SRC*)	content of lecture				
	presentation				
	ability to transfer knowledge				
Shipping registration and transfer of registration by Mr. CHEN Kit Jam (MPA**)	content of lecture				
	presentation				
	ability to transfer knowledge				

Day 2	Points for evaluation	4	3	2	1
Applications and obligations under the III code by Mr. NODA Takuji (SRC)	content of lecture				
	presentation				
	ability to transfer knowledge				
RO Codes and RO Agreements by Mr. CHEN Kit Jam (MPA)	content of lecture				
	presentation				
	ability to transfer knowledge				

Day 3	Points for evaluation	4	3	2	1
Introduction of Good Practice I by Mr. Phan Nguyen Hai Ha (VINAMARINE)	content of lecture				
	presentation				
	ability to transfer knowledge				
Introduction of Good Practice II by Mr. Surachet Dejkajornrittha (Marine Department, Thailand)	content of lecture				
	presentation				
	ability to transfer knowledge				

Day 4	Points for evaluation	4	3	2	1
Introduction of IMO-NORAD Project by Ms. Tran Thi Tuyet Mai Anh (VINAMARINE)	content of lecture				
	presentation				
	ability to transfer knowledge				
Fleet management of Classification Society by Mr. SHIMIZU Satoshi (Nippon Kaiji Kyokai (Class NK))	content of lecture				
	presentation				
	ability to transfer knowledge				

Day 5	Points for evaluation	4	3	2	1
Introduction of IMO Technical Cooperation Projects relating to improving flag performance and capacity-building strategies: a practical case to share a real-life experience by Mr. Bekir Sitki Ustaoglu (IMO)	content of lecture				
	presentation				
	ability to transfer knowledge				

* SRC: Ship Building and Research Centre of Japan

** MPA: Maritime and Port Authority of Singapore

At the end of the activity

10	What topics were of most interest and relevance to you?				

11	Are there any topics which should be added?	Yes		No	
	If yes, please list them:				

12	Do you consider that the objective of the event was met?	Yes		No	
----	--	-----	--	----	--

13	Are you likely to use the information you gained in the seminar when you return to work?	Yes		No	
----	--	-----	--	----	--

14 Will you have the opportunity to transfer the knowledge gained to your colleagues at work?	Yes		No	
---	-----	--	----	--

15 How are you or your Authority planning to utilize the knowledge and experience you gained through the seminar after your return to your country?

Comments:

Your name _____

Your country _____

We greatly appreciate your time in completing this evaluation questionnaire. It contains important information that will assist the Tokyo MOU Secretariat in determining the success and impact of the activity. Thank you.

別添 7

参加者から提出された評価シート

EVALUATION QUESTIONNAIRE
 Seminar for flag performance improvement
 (5-9 December 2022)

Please send the completed form to secretariat@tokyo-mou.org before Monday 12 December 2022.

Arrangements prior to the seminar

1	Was the invitation received in good time?	<input checked="" type="radio"/> Yes		No	
---	---	--------------------------------------	--	----	--

2	Did you receive the information listed below about the event before your participation?				
	• on its objective and scope	<input checked="" type="radio"/> Yes		No	
	• subject areas and programme	<input checked="" type="radio"/> Yes		No	

3	Were the instructions on the following clear and easy to understand?				
	• profile required of participant	<input checked="" type="radio"/> Yes		No	
	• completion and submission of the necessary forms	<input checked="" type="radio"/> Yes		No	

4	Did you receive logistical information on:				
	• venue	<input checked="" type="radio"/> Yes		No	N/A
	• travel arrangements	<input checked="" type="radio"/> Yes		No	N/A
	• DSA payments	<input checked="" type="radio"/> Yes		No	N/A
	• accommodation	<input checked="" type="radio"/> Yes		No	N/A

During the activity

5	To cover the topics fully, was the event (please check the appropriate box)				
	(1) too long		(2) just right	<input checked="" type="checkbox"/>	(3) too short

6	How do you rate the event with regard to the following? (tick one box in each case)				
		excellent	Good	satisfactory	poor
	Venue		<input checked="" type="checkbox"/>		
	Facilities	<input checked="" type="checkbox"/>			
	Equipment		<input checked="" type="checkbox"/>		

7 How do you rate the following aspects of the materials? (tick one box in each case)				
	excellent	good	satisfactory	poor
Presentation	✓			
Clarity	✓			
Technical content		✓		
Comprehensiveness	✓			
Quantity	✓			

8 How would you rate the following aspects of the presentations? (tick one box in each case)				
	excellent	good	satisfactory	poor
Design and structure		✓		
Clarity		✓		
Technical contents		✓		
Comprehensiveness		✓		

9 Please rate each lecturer with regard to the following (check one box in each case)

4: excellent, 3: good, 2: satisfactory, 1: poor

Day 1	Points for evaluation	4	3	2	1
PSC and its results by Mr. KUBOTA Hideo (Tokyo MOU Secretariat)	content of lecture	✓			
	presentation	✓			
	ability to transfer knowledge	✓			
Flag State responsibility under maritime conventions by Mr. NODA Takuji (SRC*)	content of lecture		✓		
	presentation		✓		
	ability to transfer knowledge		✓		
Shipping registration and transfer of registration by Mr. CHEN Kit Jam (MPA**)	content of lecture		✓		
	presentation	✓			
	ability to transfer knowledge	✓			

Day 2	Points for evaluation	4	3	2	1
Applications and obligations under the III code by Mr. NODA Takuji (SRC)	content of lecture	✓			
	presentation		✓		
	ability to transfer knowledge		✓		
RO Codes and RO Agreements by Mr. CHEN Kit Jam (MPA)	content of lecture		✓		
	presentation	✓			
	ability to transfer knowledge	✓			

Day 3	Points for evaluation	4	3	2	1
Introduction of Good Practice I by Mr. Phan Nguyen Hai Ha (VINAMARINE)	content of lecture	✓			
	presentation	✓			
	ability to transfer knowledge		✓		
Introduction of Good Practice II by Mr. Surachet Dejkajornrittha (Marine Department, Thailand)	content of lecture	✓			
	presentation	✓			
	ability to transfer knowledge		✓		

Day 4	Points for evaluation	4	3	2	1
Introduction of IMO-NORAD Project by Ms. Tran Thi Tuyet Mai Anh (VINAMARINE)	content of lecture	✓			
	presentation	✓			
	ability to transfer knowledge		✓		
Fleet management of Classification Society by Mr. SHIMIZU Satoshi (Nippon Kaiji Kyokai (Class NK))	content of lecture	✓			
	presentation		✓		
	ability to transfer knowledge		✓		

Day 5	Points for evaluation	4	3	2	1
Introduction of IMO Technical Cooperation Projects relating to improving flag performance and capacity-building strategies: a practical case to share a real-life experience by Mr. Bekir Sitki Ustaoglu (IMO)	content of lecture	✓			
	presentation	✓			
	ability to transfer knowledge	✓			

* SRC: Ship Building and Research Centre of Japan

** MPA: Maritime and Port Authority of Singapore

At the end of the activity

10	What topics were of most interest and relevance to you?	
	All topics were interest	

11	Are there any topics which should be added?	Yes		No	✓
	If yes, please list them:				

12	Do you consider that the objective of the event was met?	Yes	✓	No	
----	--	-----	---	----	--

13	Are you likely to use the information you gained in the seminar when you return to work?	Yes	✓	No	
----	--	-----	---	----	--

14 Will you have the opportunity to transfer the knowledge gained to your colleagues at work?	Yes	✓	No	
---	-----	---	----	--

15 How are you or your Authority planning to utilize the knowledge and experience you gained through the seminar after your return to your country?

This seminar topic is very useful, I will try my best to adopt all the knowledge I gain from the lecture into the draft of legislation that Cambodia is planning to do, like PSC, etc.

Comments:

I really enjoy the seminar and I would like to say a big thank to the ~~MO~~ Secretariat, leadurers, organizers and sponsor.

I hope to join and participate in the next event.

Your name Mr. Davin NGOUN

Your country Cambodia

We greatly appreciate your time in completing this evaluation questionnaire. It contains important information that will assist the Tokyo MOU Secretariat in determining the success and impact of the activity. Thank you.

EVALUATION QUESTIONNAIRE
Seminar for flag performance improvement
(5-9 December 2022)

Please send the completed form to secretariat@tokyo-mou.org **before Monday 12 December 2022.**

Arrangements prior to the seminar

1	Was the invitation received in good time?	Yes		No	
---	---	-----	--	----	--

2	Did you receive the information listed below about the event before your participation?				
	• on its objective and scope	Yes		No	
	• subject areas and programme	Yes		No	

3	Were the instructions on the following clear and easy to understand?				
	• profile required of participant	Yes		No	
	• completion and submission of the necessary forms	Yes		No	

4	Did you receive logistical information on:				
	• venue	Yes		No	N/A
	• travel arrangements	Yes		No	N/A
	• DSA payments	Yes		No	N/A
	• accommodation	Yes		No	N/A

During the activity

5	To cover the topics fully, was the event (<i>please check the appropriate box</i>)				
	(1) too long	(2) just right		(3) too short	

6	How do you rate the event with regard to the following? (<i>tick one box in each case</i>)				
		excellent	Good	satisfactory	poor
	Venue				
	Facilities				
	Equipment				

7 How do you rate the following aspects of the materials? (tick one box in each case)				
	excellent	good	satisfactory	poor
Presentation				
Clarity				
Technical content				
Comprehensiveness				
Quantity				

8 How would you rate the following aspects of the presentations? (tick one box in each case)				
	excellent	good	satisfactory	poor
Design and structure				
Clarity				
Technical contents				
Comprehensiveness				

9 Please rate each lecturer with regard to the following (check one box in each case)

4: excellent, 3: good, 2: satisfactory, 1: poor

Day 1	Points for evaluation	4	3	2	1
PSC and its results by Mr. KUBOTA Hideo (Tokyo MOU Secretariat)	content of lecture				
	presentation				
	ability to transfer knowledge				
Flag State responsibility under maritime conventions by Mr. NODA Takuji (SRC*)	content of lecture				
	presentation				
	ability to transfer knowledge				
Shipping registration and transfer of registration by Mr. CHEN Kit Jam (MPA**)	content of lecture				
	presentation				
	ability to transfer knowledge				

Day 2	Points for evaluation	4	3	2	1
Applications and obligations under the III code by Mr. NODA Takuji (SRC)	content of lecture				
	presentation				
	ability to transfer knowledge				
RO Codes and RO Agreements by Mr. CHEN Kit Jam (MPA)	content of lecture				
	presentation				
	ability to transfer knowledge				

Day 3	Points for evaluation	4	3	2	1
Introduction of Good Practice I by Mr. Phan Nguyen Hai Ha (VINAMARINE)	content of lecture				
	presentation				
	ability to transfer knowledge				
Introduction of Good Practice II by Mr. Surachet Dejkajornrittha (Marine Department, Thailand)	content of lecture				
	presentation				
	ability to transfer knowledge				

Day 4	Points for evaluation	4	3	2	1
Introduction of IMO-NORAD Project by Ms. Tran Thi Tuyet Mai Anh (VINAMARINE)	content of lecture				
	presentation				
	ability to transfer knowledge				
Fleet management of Classification Society by Mr. SHIMIZU Satoshi (Nippon Kaiji Kyokai (Class NK))	content of lecture				
	presentation				
	ability to transfer knowledge				

Day 5	Points for evaluation	4	3	2	1
Introduction of IMO Technical Cooperation Projects relating to improving flag performance and capacity-building strategies: a practical case to share a real-life experience by Mr. Bekir Sitki Ustaoglu (IMO)	content of lecture				
	presentation				
	ability to transfer knowledge				

* SRC: Ship Building and Research Centre of Japan

** MPA: Maritime and Port Authority of Singapore

At the end of the activity

10	What topics were of most interest and relevance to you?
PSC and its results, Flag State responsibility under maritime conventions, Shipping registration and transfer of registration, Applications and obligations under the III code, RO Codes and RO Agreements, Fleet management of Classification Society & Introduction of IMO Technical Cooperation Projects relating to improving flag performance and capacity-building strategies	

11	Are there any topics which should be added?	Yes	No
If yes, please list them:		Port State Control Application	

12	Do you consider that the objective of the event was met?	Yes	No
----	--	-----	----

13	Are you likely to use the information you gained in the seminar when you return to work?	Yes		No	
----	--	-----	--	----	--

14	Will you have the opportunity to transfer the knowledge gained to your colleagues at work?	Yes		No	
----	--	-----	--	----	--

15	How are you or your Authority planning to utilize the knowledge and experience you gained through the seminar after your return to your country?
<p>Conducting an in-house awareness of the knowledge gained to key staff within the Authority.</p> <p>Providing and sharing the refined materials received from the Seminar in reference with the need of our Authority</p>	

Comments:

The course programme with the Presenters nominated - were all qualified and experienced and I wish to take this opportunity to thank the Secretary of the Tokyo MoU and the Organizers and Facilitators in giving Kiribati the opportunity to attend and to participate in this very important seminar.

The Seminar is indeed very helpful and there are lots of things learned from the well qualified and experienced Presenters – nominated to deliver and to share their knowledge and experience.

I sincerely wish to inform in-advance, Kiribati's willingness to be an Observer to the Tokyo MoU as we sincerely believe, maritime safety is very vital for ships and that we can assist in ensuring that ships are safe and meet the minimum safety requirements.

Your name: Ruoikabuti Tioon

Your country: Kiribati

We greatly appreciate your time in completing this evaluation questionnaire. It contains important information that will assist the Tokyo MOU Secretariat in determining the success and impact of the activity. Thank you.

EVALUATION QUESTIONNAIRE
 Seminar for flag performance improvement
 (5-9 December 2022)

Please send the completed form to secretariat@tokyo-mou.org before Monday 12 December 2022.

Arrangements prior to the seminar

1	Was the invitation received in good time?	Yes	<input checked="" type="checkbox"/>	No	
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2	Did you receive the information listed below about the event before your participation?				
	• on its objective and scope	Yes	<input checked="" type="checkbox"/>	No	
	• subject areas and programme	Yes	<input checked="" type="checkbox"/>	No	

3	Were the instructions on the following clear and easy to understand?				
	• profile required of participant	Yes	<input checked="" type="checkbox"/>	No	
	• completion and submission of the necessary forms	Yes	<input checked="" type="checkbox"/>	No	

4	Did you receive logistical information on:				
	• venue	Yes	<input checked="" type="checkbox"/>	No	N/A
	• travel arrangements	Yes	<input checked="" type="checkbox"/>	No	N/A
	• DSA payments	Yes	<input checked="" type="checkbox"/>	No	N/A
	• accommodation	Yes	<input checked="" type="checkbox"/>	No	N/A

During the activity

5	To cover the topics fully, was the event (please check the appropriate box)				
	(1) too long	(2) just right	<input checked="" type="checkbox"/>	(3) too short	

6	How do you rate the event with regard to the following? (tick one box in each case)				
		excellent	Good	satisfactory	poor
	Venue	<input checked="" type="checkbox"/>			
	Facilities	<input checked="" type="checkbox"/>			
	Equipment	<input checked="" type="checkbox"/>			

7 How do you rate the following aspects of the materials? (tick one box in each case)				
	excellent	good	satisfactory	poor
Presentation		✓		
Clarity		✓		
Technical content		✓		
Comprehensiveness		✓		
Quantity		✓		

8 How would you rate the following aspects of the presentations? (tick one box in each case)				
	excellent	good	satisfactory	poor
Design and structure	✓			
Clarity	✓			
Technical contents	✓			
Comprehensiveness	✓			

9 Please rate each lecturer with regard to the following (check one box in each case)

4: excellent, 3: good, 2: satisfactory, 1: poor

Day 1	Points for evaluation	4	3	2	1
PSC and its results by Mr. KUBOTA Hideo (Tokyo MOU Secretariat)	content of lecture	✓			
	presentation	✓			
	ability to transfer knowledge	✓			
Flag State responsibility under maritime conventions by Mr. NODA Takuji (SRC*)	content of lecture	✓			
	presentation	✓			
	ability to transfer knowledge	✓			
Shipping registration and transfer of registration by Mr. CHEN Kit Jam (MPA**)	content of lecture	✓			
	presentation	✓			
	ability to transfer knowledge	✓			

Day 2	Points for evaluation	4	3	2	1
Applications and obligations under the III code by Mr. NODA Takuji (SRC)	content of lecture	✓			
	presentation	✓			
	ability to transfer knowledge	✓			
RO Codes and RO Agreements by Mr. CHEN Kit Jam (MPA)	content of lecture	✓			
	presentation	✓			
	ability to transfer knowledge	✓			

Day 3	Points for evaluation	4	3	2	1
Introduction of Good Practice I by Mr. Phan Nguyen Hai Ha (VINAMARINE)	content of lecture	✓			
	presentation	✓			
	ability to transfer knowledge	✓			
Introduction of Good Practice II by Mr. Surachet Dejkajornrittha (Marine Department, Thailand)	content of lecture	✓			
	presentation	✓			
	ability to transfer knowledge	✓			

Day 4	Points for evaluation	4	3	2	1
Introduction of IMO-NORAD Project by Ms. Tran Thi Tuyet Mai Anh (VINAMARINE)	content of lecture	✓			
	presentation	✓			
	ability to transfer knowledge	✓			
Fleet management of Classification Society by Mr. SHIMIZU Satoshi (Nippon Kaiji Kyokai (Class NK))	content of lecture	✓			
	presentation	✓			
	ability to transfer knowledge	✓			

Day 5	Points for evaluation	4	3	2	1
Introduction of IMO Technical Cooperation Projects relating to improving flag performance and capacity-building strategies: a practical case to share a real-life experience by Mr. Bekir Sitki Ustaoglu (IMO)	content of lecture	✓			
	presentation	✓			
	ability to transfer knowledge	✓			

* SRC: Ship Building and Research Centre of Japan

** MPA: Maritime and Port Authority of Singapore

At the end of the activity

10	What topics were of most interest and relevance to you?			
		All presentation		

11	Are there any topics which should be added?	Yes		No	✓
	If yes, please list them:				

12	Do you consider that the objective of the event was met?	Yes	✓	No	
----	--	-----	---	----	--

13	Are you likely to use the information you gained in the seminar when you return to work?	Yes	✓	No	
----	--	-----	---	----	--

14 Will you have the opportunity to transfer the knowledge gained to your colleagues at work?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
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15 How are you or your Authority planning to utilize the knowledge and experience you gained through the seminar after your return to your country?

I think firstly we need to change all agreement of RO through RO-Model agreement. (MSC-MFPC.5/Circ.16).

Comments:

On behalf of Mongolia Maritime Administration, I take this opportunity to propose vote of thanks to those who have directly and indirectly contributed to this seminar, all Lecturer's and participants and all staffs of the Vietnam Maritime Administration.

At the outset, special thanks to Secretariat Tokyo MOU, Mr. Kubota Hideo. We are appreciated and really enlightened with your knowledge and presence. Warm greetings from Mongolia. Thank you.
 БАЯЛАЛАА.

Your name GANBAATAR ZOLBOO

Your country Mongolia.

We greatly appreciate your time in completing this evaluation questionnaire. It contains important information that will assist the Tokyo MOU Secretariat in determining the success and impact of the activity. Thank you.

EVALUATION QUESTIONNAIRE
 Seminar for flag performance improvement
 (5-9 December 2022)

Please send the completed form to secretariat@tokyo-mou.org **before Monday 12 December 2022.**

Arrangements prior to the seminar

1	Was the invitation received in good time?	Yes	<input checked="" type="checkbox"/>	No	
---	---	-----	-------------------------------------	----	--

2	Did you receive the information listed below about the event before your participation?				
	• on its objective and scope	Yes	<input checked="" type="checkbox"/>	No	
	• subject areas and programme	Yes	<input checked="" type="checkbox"/>	No	

3	Were the instructions on the following clear and easy to understand?				
	• profile required of participant	Yes	<input checked="" type="checkbox"/>	No	
	• completion and submission of the necessary forms	Yes	<input checked="" type="checkbox"/>	No	

4	Did you receive logistical information on:				
	• venue	Yes	<input checked="" type="checkbox"/>	No	N/A
	• travel arrangements	Yes	<input checked="" type="checkbox"/>	No	N/A
	• DSA payments	Yes	<input checked="" type="checkbox"/>	No	N/A
	• accommodation	Yes	<input checked="" type="checkbox"/>	No	N/A

During the activity

5	To cover the topics fully, was the event (<i>please check the appropriate box</i>)				
	(1) too long	(2) just right	<input checked="" type="checkbox"/>	(3) too short	

6	How do you rate the event with regard to the following? (<i>tick one box in each case</i>)				
		excellent	Good	satisfactory	poor
	Venue		<input checked="" type="checkbox"/>		
	Facilities		<input checked="" type="checkbox"/>		
	Equipment	<input checked="" type="checkbox"/>			

7 How do you rate the following aspects of the materials? (tick one box in each case)				
	excellent	good	satisfactory	poor
Presentation	X			
Clarity	X			
Technical content		X		
Comprehensiveness		X		
Quantity		X		

8 How would you rate the following aspects of the presentations? (tick one box in each case)				
	excellent	good	satisfactory	poor
Design and structure	X			
Clarity	X			
Technical contents		X		
Comprehensiveness		X		

9 Please rate each lecturer with regard to the following (check one box in each case)

4: excellent, 3: good, 2: satisfactory, 1: poor

Day 1	Points for evaluation	4	3	2	1
PSC and its results by Mr. KUBOTA Hideo (Tokyo MOU Secretariat)	content of lecture	X			
	presentation	X			
	ability to transfer knowledge	X			
Flag State responsibility under maritime conventions by Mr. NODA Takuji (SRC*)	content of lecture		X		
	presentation	X			
	ability to transfer knowledge	X			
Shipping registration and transfer of registration by Mr. CHEN Kit Jam (MPA**)	content of lecture	X			
	presentation	X			
	ability to transfer knowledge	X			

Day 2	Points for evaluation	4	3	2	1
Applications and obligations under the III code by Mr. NODA Takuji (SRC)	content of lecture	X			
	presentation	X			
	ability to transfer knowledge	X			
RO Codes and RO Agreements by Mr. CHEN Kit Jam (MPA)	content of lecture	X			
	presentation	X			
	ability to transfer knowledge	X			

Day 3	Points for evaluation	4	3	2	1
Introduction of Good Practice I by Mr. Phan Nguyen Hai Ha (VINAMARINE)	content of lecture	X			
	presentation	X			
	ability to transfer knowledge	X			
Introduction of Good Practice II by Mr. Surachet Dejkajornrittha (Marine Department, Thailand)	content of lecture	X			
	presentation	X			
	ability to transfer knowledge	X			

Day 4	Points for evaluation	4	3	2	1
Introduction of IMO-NORAD Project by Ms. Tran Thi Tuyet Mai Anh (VINAMARINE)	content of lecture		X		
	presentation	X			
	ability to transfer knowledge	X			
Fleet management of Classification Society by Mr. SHIMIZU Satoshi (Nippon Kaiji Kyokai (Class NK))	content of lecture		X		
	presentation	X			
	ability to transfer knowledge	X			

Day 5	Points for evaluation	4	3	2	1
Introduction of IMO Technical Cooperation Projects relating to improving flag performance and capacity-building strategies: a practical case to share a real-life experience by Mr. Bekir Sitki Ustaoglu (IMO)	content of lecture		X		
	presentation		X		
	ability to transfer knowledge	X			

* SRC: Ship Building and Research Centre of Japan

** MPA: Maritime and Port Authority of Singapore

At the end of the activity

10 What topics were of most interest and relevance to you?

PSC & Resolves, Shipping Registration, ILLCODE, PO CODE
GOOD PRACTICES.

11 Are there any topics which should be added? Yes No

If yes, please list them: PSC Inspection Improvement,
PS & FS Collaborative methods.

12 Do you consider that the objective of the event was met? Yes No

13 Are you likely to use the information you gained in the seminar when you return to work? Yes No

14 Will you have the opportunity to transfer the knowledge gained to your colleagues at work?	Yes	<input checked="" type="checkbox"/>	No	
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15 How are you or your Authority planning to utilize the knowledge and experience you gained through the seminar after your return to your country?
<ul style="list-style-type: none"> - Revision of policies / Develop Policy - Implementation of good practices - Statistics improvement - Collaboration with TNOU for support.

Comments:

Thanks to Tokyo MOU SECRETARIAT
AND VINAMAKINE for the kind
invitation and organization of
the seminar. Already looking
forward for the next event.

Your name PANOS KIRNIDIS

Your country PALAU

We greatly appreciate your time in completing this evaluation questionnaire. It contains important information that will assist the Tokyo MOU Secretariat in determining the success and impact of the activity. Thank you.

ブラックリスト国セミナー事業写真集



ロビー1階に設置したバナー



会場のバックドロップ

← 会場となった GRAND SEA HOTEL



セミナー会場



講義風景①



講義風景②



小グループ・ディスカッション





講師、受講者等の集合写真(左:12月5日、右:12月8日)



フェアウェルパーティー
ウェルカムレセプション



セミナー終了賞の授与(左上より時計回りにカンボジア、モンゴル、パラオ、キリバス)