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SUB-COMMITTEE ON STANDARDS OF
TRAINING AND WATCHKEEPING
31st session
Agenda item 5

STW 31/5/1
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FOLLOW-UP ACTION TO THE 1995 CONFERENCE

Clarifications of STCW Convention and STCW Code provisions

Note by the Secretariat

SUMMARY

<i>Executive summary:</i>	This document contains proposals for the consolidation of clarifications contained in STCW.7 circulars for inclusion in part B of the STCW Code.
<i>Action to be taken:</i>	Paragraph 4
<i>Related documents:</i>	MSC 69/22, STW 29/14, STW 30/13 and STCW.7 circulars

1 The Maritime Safety Committee, at its sixty-ninth session, agreed that, to avoid the proliferation of sources of guidance, the Sub-Committee should consolidate the clarifications contained in the STCW.7 series of circulars and prepare appropriate amendments to part B of the STCW Code.

2 The Sub-Committee, at its thirtieth session, noted the list of STCW.7 circulars, which could be incorporated into part B of the Code and agreed that, whilst the contents of certain circulars needed to be incorporated into part B of the Code, others should, for the time being, be retained as STCW.7 circulars for guidance. The Sub-Committee invited Members to submit comments for consideration at STW 31.

3 In order to assist discussions on this issue, the Secretariat has prepared a list of proposed amendments to part B of the STCW Code (annex 1) and a consolidated text of the amendments for circulation as an STCW.6 circular (annex 2).

Action requested of the Sub-Committee

4 The Sub-Committee is invited to take note of the above information and decide as appropriate.

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ANNEX 1

**LIST OF CIRCULARS AND OTHER SOURCES OF GUIDANCE TO BE INCLUDED IN
PART B OF THE STCW CODE**

STCW.7 CIRCULARS

Circular No	Subject	Proposed amendments to part B of the STCW Code
STCW.7/Circ.1	Clarification of regulations I/9, I/10 and I/15 of the STCW Convention	Re-number existing table B-I/9 as B-I/9-1 Insert the text of annex 3 to the circular as table B-I/9-2 Insert the text of annex 4 to the circular as a new paragraph 15
STCW.7/Circ.2	Model training record book for candidates for certification as officers in charge of a navigational watch	Delete reference to IMO model course 7.03 in existing footnote to paragraph 4.3 of section B-II/1 and replace by a reference to circular STCW.7/Circ.2
STCW.7/Circ.3	Model training record book for candidates for certification as officers in charge of a engineering watch or designated duty engineers	Insert a new footnote to paragraph 3 of section B-III/1 to make reference to circular STCW.7/Circ.3
STCW.7/Circ.4	Communication of information in accordance with article IV and regulation I/7 of the STCW Convention, 1978, as amended in 1995	Number existing text of section B-I/7 as paragraph 2 Insert the text of paragraph 4 and the annex to the circular as a new paragraph 1 to section B-I/7
STCW.7/Circ.5	Clarification of certain issues relating to the STCW Convention, 1978 as amended	Number existing text of section B-II/4 as paragraph 1 Insert the text of paragraph 10 of the circular as a new paragraph 2 to section B-II/4 Number existing text of section B-III/4 as paragraph 1 Insert the text of paragraph 10 of the circular as a new paragraph 2 to section B-III/4

Circular No	Subject	Proposed amendments to part B of the STCW Code
STCW.7/Circ.6	Availability of Guidance Document	Insert a new footnote to the proposed new paragraph 1 of section B-I/7 to make reference to STCW.7/Circ.6
STCW.7/Circ.7	Clarification of regulations I/6 and I/7 of the STCW Convention	Insert the text of paragraph 1.1 of the circular as a new paragraph in section B-I/10 Insert the text of paragraph 1.2 of the circular as a new paragraph 3 in section B-I/7
STCW.7/Circ.8	Application of provisions of the 1978 STCW Convention to mobile offshore units (MOUs)	Insert the text of paragraphs 1.1 to 1.6 of the circular as a new section B-V/d
STCW.7/Circ.9	Guidance for competent persons evaluating information communicated by Parties on implementation of amendments to the STCW Convention and STCW Code which have come into force after 1 August 1998	None

MSC CIRCULARS

Circular No	Subject	Proposed amendments to part B of the STCW Code
MSC/Circ.853	Guidance on shipboard assessments of proficiency	Insert a new footnote to paragraph 4 of section B-I/6 to make reference to MSC/Circ.853
MSC/Circ.867	Officer of the navigational watch acting as the sole lookout during periods of darkness	Insert a new footnote to the heading of section B-I/13 to make reference to MSC/Circ.867
MSC/Circ.918	Guidance for port State control officers in respect of certificates of competency issued under the provisions of the STCW Convention	Insert a new footnote to the heading of section B-I/4 to make reference to MSC/Circ.918

OTHER SOURCES

Source	Subject	Proposed amendments to the STCW Code
MSC 71/23 paragraph 6.13	ILO/WHO Guidelines for conducting Pre-Sea and Periodic Medical Fitness Examination for Seafarers	Insert a new footnote to paragraph 2 of section B-I/9 to make reference to the ILO/WHO Guidelines
	References to various Assembly resolutions, circulars and other guidance as footnotes throughout the STCW Convention and Code	Updated references as listed in appendix to annex 2

ANNEX 2

INTERNATIONAL CONVENTION OF STANDARDS OF TRAINING, CERTIFICATION
AND WATCHKEEPING FOR SEAFARERS, 1978

SEAFARERS' TRAINING, CERTIFICATION AND WATCHKEEPING CODE

1 The Maritime Safety Committee, at its [seventy-second session (May 2000)] adopted amendments to part B of the STCW Code as follows:

1 Insert new footnote to heading of section B-I/4 as follows:

“See MSC/Circ.918 - Guidance for port State control officers in respect of certificates of competency issued under the provisions of the STCW Convention.”

2 Insert new footnote to paragraph 4 of section B-I/6 as follows:

“See MSC/Circ.853 - Guidance on shipboard assessments of proficiency.”

3 Insert new paragraph 1 to section B-I/7 as follows:

“Parties are encouraged, when communicating information in accordance with article IV and regulation I/7 of the Convention, to include an index specifically locating the required information as follows:” and insert text given in Appendix 1.

4 Renumber existing text of section B-I/7 as paragraph 2.

5 Insert the following text as paragraph 3 in section B-I/7:

“The requirement for Parties to communicate information on the outcome of periodical independent evaluations of the quality standards systems required under regulation I/8 is subject to assessment by competent persons. There is, therefore, a continuing role for competent persons. Any document listing Parties identified by the Maritime Safety Committee as giving full and complete effect to the provisions of the STCW Convention [(the so-called 'White List')] will be a dynamic document and therefore subject to updating according to the provisions of the Convention. Furthermore, at the time of the Secretary-General's report to the Committee, certain provisions of the Convention may not be applicable to a Party. If, however, a Party subsequently implements any of these provisions, then any additional information communicated thereon by the Party in accordance with regulation I/7 would be required to be considered by the competent persons in order to assist the Secretary-General to make a further report to the Committee.”

6 Insert new footnote to the new proposed paragraph 1 of section B-I/7 as follows:

“STCW.7/Circ.6 may be of assistance for Parties communicating information.”

7 Insert new footnote to paragraph 2 of section B-I/9 as follows:

“ILO/WHO Guidelines for conducting Pre-Sea and Periodic Medical fitness may be of assistance in development of standards.”

- 8 Renumber existing table in section B-I/9 as B-I/9-1 and insert new table B-I/9-2 as given in appendix 2.
- 9 Insert new paragraph 15 in section B-I/9 as follows:

“15 Development of a database for certificate registration

1 In implementing the requirement in paragraph 4.1 of regulation I/9 of the revised STCW Convention for the maintenance of a register of certificates and endorsements, a **standard** database is not necessary provided that all the relevant information is recorded and available.

2 The following items of information should be recorded and available either on paper or electronically in accordance with regulation I/9, as a minimum:

.1 Status of certificate:

Valid
Suspended
Cancelled
Reported lost
Destroyed

with a record of changes to status to be kept, including dates of changes.

.2 Certificate details:

Seafarer's name
Date of birth
Nationality
Sex
Preferably a photograph
Relevant document number
Date of issue
Date of expiry
Last revalidation date
Details of dispensation(s)

.3 Competency details:

STCW competency standard (e.g. regulation II/1)
Capacity
Function
Level of responsibility
Endorsements
Limitations

.4 Medical details:

Date of issue of latest medical certificate relating to the issue or revalidation of the appropriate certificate;”

- 10 Insert new paragraph in section B-I/10 as follows:

“Training carried out under the STCW Convention which does not lead to the issue of an appropriate certificate and on which information provided by a Party is found by the Maritime Safety Committee to give full and complete effect to the Convention in accordance with regulation I/7 paragraph 2, may be accepted by other Parties to the Convention as meeting the relevant training requirements thereof .“

- 11 Insert new footnote to paragraph 4.3 of section B-II/1 as follows:

“STCW.7/Circ .2 and a similar document produced by the International Shipping Federation (ISF) may be of assistance in preparation of training record books”.

- 12 Insert new footnote to paragraph 3 of section B-III/1 as follows:

“STCW.7/Circ.3 and a similar document produced by the International Shipping Federation (ISF) maybe of assistance in preparation of training record books”.

- 13 Renumber existing text as paragraph 1 and insert new paragraph 2 in section B-II/4 as follows:

“In connection with the acceptance of other Parties' training, [the Sub-Committee agreed that] watch rating certificates issued by a Party found to be giving full and complete effect to the provisions of the STCW Convention, may be accepted by other Parties without endorsement or issue of a flag State watch rating certificate.”

- 14 Renumber existing text as paragraph 1 and insert new paragraph 2 in section B-III/4 as follows:

“In connection with the acceptance of other Parties' training, [the Sub-Committee agreed that] watch rating certificates issued by a Party found to be giving full and complete effect to the provisions of the STCW Convention, may be accepted by other Parties without endorsement or issue of a flag State watch rating certificate.”

- 15 Insert new section B-V/d as follows:

“1 The provisions of the STCW Convention apply to the maritime crews of self-propelled MOUs proceeding on voyages;

2 the provisions of the STCW Convention do not apply to non self-propelled MOUs or to MOUs on station;

3 when considering appropriate standards of training and certification when an MOU is on station, the country of registry should take account of relevant IMO

recommendations*. In particular, all maritime crew members on self-propelled MOUs and, where required, on other units should meet the requirements of the STCW Convention, as amended;

4 self-propelled MOUs proceeding on international voyages are required to carry safe manning documents;

5 MOUs on station are subject to the national legislation of the coastal State in whose Exclusive Economic Zone (EEZ) they are operating. Such coastal States should also take account of relevant IMO recommendations* and should not prescribe higher standards for MOUs registered in other countries than the standards applied to MOUs registered in that coastal State; and

6 all special personnel employed on board MOUs (whether or not self-propelled) should be provided with appropriate familiarization and basic safety training in accordance with relevant IMO recommendations*.

16 Update references to various Assembly resolutions, circulars and other guidance in footnotes throughout the STCW Convention and Code as given in appendix 3.

*Resolution[s]: [A.583(13), A.712(17) and A.828(19)] [and draft Assembly resolution on]A....(21) Recommendations on Training of Personnel on Mobile Offshore Units (MOUs).

APPENDIX 1

Index of Materials submitted in accordance with article IV and regulation I/7 of the STCW Convention

Article IV of the STCW Convention:

		Location*
1	Text of laws, decrees, orders, regulations and instruments (article IV(1)(a))	
2	Details on study courses (article IV(1) (b))	
3	National examination and other requirements (article IV(1) (b))	
4	Specimen certificates (article IV(1) (c))	

Section A-I/7 of the STCW Code

5	Information on Governmental organization (section A-I/7, paragraph 2.1)	
6	Explanation of legal and administrative measures (section A-I/7, paragraph 2.2)	
7	Statement of the education, training, examination, assessment and certification policies (section A-I/7, paragraph 2.3)	
8	Summary of the courses, training programmes, examinations, assessments by certificate (section A-I/7, paragraph 2.4)	
9	Outline of the procedures and conditions for authorizations, accreditations and approvals (section A-I/7, paragraph 2.5)	
10	List of authorizations, accreditations and approvals granted (section A-I/7, paragraph 2.5)	
11	Summary of procedures for dispensations (section A-I/7, paragraph 2.6)	
12	Comparison carried out pursuant to regulation I/11 (section A-I/7, paragraph 2.7)	

*Indicate specific page or section number(s), and document title when needed. The terms "NOT APPLICABLE" or "NOT YET AVAILABLE" should be entered when appropriate.

Location*

- 13 Outline of refresher and upgrading training mandated (section A-I/7, paragraph 2.7)
- 14 Description of equivalency arrangements adopted pursuant to article IX (section A-I/7, paragraph 3.1)
- 15 Summary of measures taken to ensure compliance with regulation I/10 (section A-I/7, paragraph 3.2)
- 16 Specimen copy of safe manning documents issued to ships employing seafarers holding alternative certificates under regulation VII/1 (section A-I/7, paragraph 3.3)
- 17 Report of results of evaluation(s) carried out pursuant to regulation I/8, and other information relating to such evaluations (section A-I/7, paragraph 4)

*Indicate specific page or section number(s), and document title when needed. The terms "NOT APPLICABLE" or "NOT YET AVAILABLE" should be entered when appropriate.

APPENDIX 2

Table B-I/9-2

LIST OF CERTIFICATES OR DOCUMENTARY EVIDENCE REQUIRED UNDER THE STCW CONVENTION

The list below identifies all certificates or documentary evidence in the Convention which authorize the holder to serve in certain functions on board ships. The certificates are subject to the requirements of regulation I/2 regarding language and their availability in original form. The list also references the relevant regulations and the requirements for endorsement and registration (regulation I/9).

Regulations	Certificate or documentary evidence (Brief description)	Endorsement required	Registration required*
II/1, II/2, II/3, III/1, III/2, III/3, IV/2,V/1,VII/2	appropriate certificate for Master, officers and radio personnel	yes	yes
II/4, III/4	ratings duly certificated to be a part of a navigational or engine room watch	no	yes,** as appropriate
V/1	"ratings assigned to specific duties on tankers"	no	yes,** as appropriate
V/2	"training requirements for personnel serving on ro-ro passenger ships"	no	no
VI/2	"a certificate of proficiency in survival craft, rescue boats and fast rescue boats"	no	no
VI/3	"training in advanced fire fighting"	no	no
VI/4	"training relating to medical first aid and medical care"	no	no

* Records of all certificates should be maintained in accordance with regulation I/9, paragraph 4.

** The Party issuing or endorsing the certificate is responsible for maintaining a register or registers in accordance with regulation I/9.4.1. However, records may be maintained by an agency or entity acting under its authority.

APPENDIX 3

LIST OF VARIOUS ASSEMBLY RESOLUTIONS, CIRCULARS AND OTHER GUIDANCE AS FOOTNOTES THROUGHOUT THE STCW CONVENTION AND CODE REQUIRING UPDATING

Footnotes	Reference:	Proposed Amendments
Regulation I/13	MSC/Circ.566	Add reference to <i>MSC/Circ.867</i>
Section A-I/6	IMO Model course 6.09, 3.12	Change the title of 3.12 to <i>Assessment, Examination and Certification of seafarers</i>
Section A-I/12	IMO model courses 6.09 and 3.12	Change the title of 3.12 to <i>Assessment, Examination and Certification of seafarers</i> Include reference to Resolution MSC 64(67)
Section A-I/14	IMO model course 5.04 and 6.03	Delete reference to 6.03
Section A-II/2 Table A-II/2	ILO/IMO Document for Guidance	Include reference to IMO model course 1.15- <i>Medical Care</i>
Section A-IV/2	IMO model course to be developed	IMO Model courses numbers to be inserted: 1.25-General Operator's Certificate for GMDSS 1.26-Restricted Operator's Certificate for GMDSS
Section A-IV/2 Table A-IV/2	IMO model courses 1.01, 1.03, and 1.05	Delete references to 1.03 and 1.05 as these all have been merged into one course as required under the Convention.
Section A-VI/1	IMO model courses 1.19, 1.20, 1.13, 1.21	Change titles to <i>1.13-Elementary First Aid</i> <i>1.19-Personal Survival Techniques</i> <i>1.21-Personal safety and Social responsibility</i>
Section A-VI/2	IMO model course 1.23	Change title to <i>Proficiency in Survival craft and Rescue boats other than fast rescue boats</i>
Section A-VI/3	IMO model course 2.03	Change title to Advanced Fire fighting
Section A-VI/4	IMO model courses 1.14 and 1.15	Changes title of 1.14 to <i>1.14-Medical first Aid</i>
Section B-I/6	IMO model courses 6.09 and 3.12	Change the title of 3.12 to <i>Assessment, Examination and Certification of seafarers</i>
Section B-I/12	IMO Model course 1.07 and 1.09	Change title of 1.07 to <i>Radar Navigation-Operational level</i>
Section B-I/12	IMO Model course 1.08	Change title of 1.08 to Radar Navigation- Management level Include reference to Resolution MSC 64(67)
Section B-II/1	IMO model course 3.12	Change title to <i>Assessment, Examination and Certification of seafarer</i>

Footnotes	Reference:	Proposed Amendments
Section B-IV/2	IMO model courses to be developed	Include the following titles 1.27- <i>General Operator's Certificate for GMDSS</i> 1.28- <i>Restricted Operator's Certificate for GMDSS</i>
Section B-VI/1	IMO model course 1.13	Change title to Elementary First Aid
Section B-VI/2	IMO model course 1.23	Change title to <i>Proficiency in survival craft other than fast rescue boats</i>