



SUB-COMMITTEE ON STANDARDS OF
TRAINING AND WATCHKEEPING
34th session
Agenda item 5

STW 34/5/1
19 November 2002
Original: ENGLISH

UNLAWFUL PRACTICES ASSOCIATED WITH CERTIFICATES OF COMPETENCY

Actions to be taken by the Sub-Committee

Note by the Secretariat

SUMMARY

Executive summary: This document contains information on progress with those actions to be undertaken by the Sub-Committee identified in the list of actions developed by STW 33

Action to be taken: Paragraph 3

Related documents: STW 33/17, annex 4

1 The Sub-Committee, at its thirty-third session (21 to 25 January 2002), developed a list of high priority and long-term actions to be undertaken by the Secretariat and the Sub-Committee relating to unlawful practices associated with certificates of competency (STW 33/17, annex 4).

High priority actions

2 The high priority actions identified for actions by the Sub-Committee include to:

- .1 develop and provide guidance on recommended anti-fraud measures and forgery prevention features for certificates;
- .2 develop guidance for administrations, companies and manning agents in detecting unlawful practices associated with certificates;
- .3 consider the benefits to be gained by technology using a data card format for certificates;
- .4 submit to the Intersessional Working Group on maritime security, decisions of the Sub-Committee related to anti-fraud measures; and
- .5 develop an agreed uniform format or standard questionnaire for verification of certificates to assist those responsible for verification, through improved channels of communication using modern technology.

Action taken

3 The Sub-Committee's decisions related to anti fraud measures have been considered by the Intersessional Working Group on maritime security.

Action to be taken

4 The Sub-Committee has yet to develop guidance on recommended anti-fraud measures and forgery prevention features for certificates or develop guidance for administrations, companies and manning agents in detecting unlawful practices associated with certificates. A framework to assist the Sub-Committee to develop the guidance is given at annex 1.

5 The Sub-Committee also identified a need to develop an agreed format or a standard questionnaire for the verification of certificates to assist those responsible for verification, through improved channels of communication using modern technology and also consider the benefits to be gained by the use of a card format for certificates. The format for verification of certificates currently used on the IMO website is given at annex 2.

Long term actions

6 The long term actions identified for action by the Sub-Committee include to:

- .1 develop a harmonized format of ancillary certificates providing documentary evidence leading to the award of certificates of competency; and
- .2 develop appropriate anti-fraud training for personnel responsible for verification based on established standards for anti-fraud guidelines.

Action to be taken

7 The Sub-Committee may invite Member Governments to submit proposals for consideration at the next session of the Sub-Committee.

Action to be taken by the Sub-Committee

8 The Sub-Committee is invited to consider the above information and take action as appropriate.

ANNEX 1**ANTI-FRAUD MEASURES AND FORGERY PREVENTION FOR CERTIFICATES**

- 1 Use of modern technology to protect the integrity of certificates e.g. bar-coding of certificate numbers, use of tamper proof paper for certificates of competencies, etc.
- 2 Structured anti-fraud policies e.g. security of blank certificates, secure procedures for printing certificates, etc.;
- 3 Effective control procedures for issue of ancillary certificates, e.g. medical fitness certificates.
- 4 Sound approval procedures for private training institutions imparting training for seafarers.
- 5 Penalties and disciplinary measures against seafarers holding fraudulent certificates or companies who knowingly employ them.
- 6 Effective communications between Parties recognising certificates from other certificate issuing countries.
- 7 Harmonisation of the structure of certificates, especially ancillary certificates.
- 8 Systematic research into records to identify fraud patterns.

GUIDANCE FOR ADMINISTRATIONS, COMPANIES AND MANNING AGENTS IN DETECTING UNLAWFUL PRACTICES

- 1 Neglect of precautions designed to verify seafarers are qualified for their duties.
- 2 Training of anti-fraud personnel.
- 3 Creating image bank of certificates.
- 4 Use of sampling techniques for verification of certificates.
- 5 Unfair employment practices.
- 6 Regulating employment practices.
- 7 High costs of education and training in the maritime sector.
- 8 Socio-economic and political conditions.

ANNEX 2**FORMAT FOR VERIFICATION OF CERTIFICATES****Certificate Verification**

To check the validity of a certificate of competency, please provide the following details:

Country Selected	United Kingdom						
Certificate number							
Date of issue	<table><tr><td>1</td><td>▼</td><td>JAN</td><td>▼</td><td>2002</td><td>▼</td></tr></table>	1	▼	JAN	▼	2002	▼
1	▼	JAN	▼	2002	▼		
Full name of holder							
Date of birth	<table><tr><td>1</td><td>▼</td><td>JAN</td><td>▼</td><td>1986</td><td>▼</td></tr></table>	1	▼	JAN	▼	1986	▼
1	▼	JAN	▼	1986	▼		
STCW regulation	<table><tr><td>II/1</td><td>▼</td></tr></table>	II/1	▼				
II/1	▼						
Function or Capacity (master, second engineer etc.)	<table><tr><td>Master</td><td>▼</td></tr></table>	Master	▼				
Master	▼						
Your name							
Your Organization/Company							
Please provide the email address you want to receive the certificate-issuing Party's response:							
Now SUBMIT the information to the certificate-issuing Party. A response should be made directly to your email address.							
Submit							