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SURVEY AND CERTIFICATION-RELATED MATTERS*

Guidelines for Administrations to ensure the adequacy of transfer of class-related matters between recognized organizations (ROs)

- 1 The Maritime Safety Committee, at its eightieth session (11 to 20 May 2005) and the Marine Environment Protection Committee, at its fifty-third session (18 to 22 July 2005) approved the Guidelines for Administrations to ensure the adequacy of transfer of class-related matters between recognized organizations (ROs).
- 2 Under the provisions of resolution A.739(18) on Guidelines for the authorization of organizations acting on behalf of the Administration, the Administration should establish a system to ensure the adequacy of work performed by the organizations authorized to act on its behalf. Such a system should, *inter alia*, include the monitoring and verification of class-related matters, as applicable.
- 3 To facilitate the development of a system for ensuring the adequacy of work performed with respect to the transfer of class-related matters between recognized organizations, maritime Administrations are invited to apply the guidelines set out at annex.
- 4 Member Governments are also invited to consider implementing a system of monitoring and verification of the transfer of class-related matters between recognized organizations.

* In order to facilitate the identification and retrieval of information circulated by means of joint MSC-MEPC circulars, from now on such information will be disseminated through the following circular series:

- 1 Organization and methods of work, as MSC-MEPC.1/Circ...
- 2 General matters, as MSC-MEPC.2/Circ...
- 3 Casualty-related matters, as MSC-MEPC.3/Circ...
- 4 Port State control-related matters, as MSC-MEPC.4/Circ...
- 5 Survey and certification-related matters, as MSC-MEPC.5/Circ...
- 6 National contact points for safety and pollution prevention and response, as MSC-MEPC.6/Circ...

ANNEX

GUIDELINES FOR ADMINISTRATIONS TO ENSURE THE ADEQUACY OF TRANSFER OF CLASS-RELATED MATTERS BETWEEN RECOGNIZED ORGANIZATIONS (ROs)

Definitions

“Gaining recognized organization” means a recognized organization which accepts a ship as meeting its requirements, only after all overdue surveys, overdue recommendations or overdue conditions of class-related matters previously issued against the ship have been completed by or as specified by the losing recognized organization.

“Classification certificate” means within the context of these Guidelines a certificate attesting to compliance with class-related matters.

“Losing recognized organization” means the recognized organization from which class-related matters are being transferred. In the case of ships accepted as meeting the class-related requirements by more than one recognized organization, the “losing recognized organization” means all recognized organizations from which class-related matters are being transferred.

“Outstanding” means still to be dealt with.

“Overdue” means overdue on the date the losing recognized organization receives the request by the gaining recognized organization for its current survey status class-related matters.

“Recommendations” and “conditions of class” are requirements to the effect that specific measures, repairs, surveys, etc., should be carried out within a specific time limit in order to retain the same status with respect to class-related matters.

“Class-related matters”, within the context of these Guidelines, means the responsibilities associated with checking compliance with the design, construction and maintenance of the structural, mechanical and electrical requirements of a classification society which is recognized by the Administration in accordance with the provisions of SOLAS regulation XI-1/1 or with applicable national standards of the Administration which provide an equivalent level of safety.

1 Procedural requirements

1.1 Obligations and reporting of the gaining recognized organization

1.1.1 Whenever a recognized organization is requested by an owner to accept an existing ship as meeting its requirements, the gaining recognized organization should immediately notify the owner in writing that:

- .1 the relevant surveys specified in section 2.2 should be satisfactorily completed for issuance of the classification certificate;

- .2 for ships less than 15 years of age, an interim classification certificate could be issued only after the gaining recognized organization has completed:
 - .2.1 all overdue surveys;
 - .2.2 all overdue recommendations/conditions of class previously issued against the ship as specified to the owner by the losing recognized organization;
- .3 for ships 15 years of age and over, an interim classification certificate could be issued only after the losing recognized organization has completed:
 - .3.1 all overdue surveys;
 - .3.2 all overdue recommendations/conditions of class previously issued against the ship;
- .4 any outstanding recommendations/conditions of class should be dealt with by their due dates;
- .5 the principles given in paragraphs 1.1.1.1, 1.1.1.2 and 1.1.1.3 should apply to any additional recommendations/conditions of class issued against the ship arising from surveys which were not included in the initial survey status of class-related matters provided to the gaining recognized organization by the losing recognized organization because the surveys were carried out in close proximity to the request for transfer of class-related matters. Such additional recommendations/conditions of class if received after the issuance of the interim classification certificate by the gaining recognized organization and which are overdue should be dealt with at the first port of call by the relevant recognized organization depending on the age of the ship;
- .6 copies of the plans listed in section 3 should be provided to the gaining recognized organization as a prerequisite to obtaining a full term classification certificate.

If the owner is unable to provide all of the required plans, the gaining recognized organization should request that the owner authorize the losing recognized organization to transfer copies of such of these plans as it may possess directly to the gaining recognized organization upon request from the gaining recognized organization.

1.1.2 Prior to issuing an interim classification certificate the gaining recognized organization should obtain:

- .1 from the owner, a written request for transfer of class-related matters, containing an authorization for the gaining recognized organization to obtain the current status of class-related matters from the losing recognized organization; and
- .2 the current survey status of class-related matters from the headquarters of the losing recognized organization or one of its designated control or management centres.

1.1.3 Within two working days of receipt of a written request from the owner for transfer of class-related matters at a recognized organization's headquarters or one of its designated control or management centres, the gaining recognized organization should notify the losing recognized organization of the requested transfer of class-related matters and attaching the owner's authorization for release of the survey status. If the gaining recognized organization does not receive the survey status of class-related matters from the losing recognized organization within three working days from request, the gaining recognized organization might utilize the losing recognized organization's survey status information of class-related matters provided by the owner and, after complying with the other relevant requirements of these Guidelines, might issue an interim classification certificate. In such cases, a statement should be included in or with the interim classification certificate reminding the owner that the conditions in paragraph 1.1.1 are still applicable.

1.1.4 The gaining recognized organization should not issue an interim classification certificate, or other documents enabling the ship to trade:

- .1 until all relevant surveys specified in section 2.2 have been satisfactorily completed;
- .2 until all overdue surveys and all overdue recommendations/conditions of class previously issued against the subject ship as specified to the owner by the losing recognized organization, have been completed and rectified by:
 - .2.1 the gaining recognized organization, for ships less than 15 years of age;
 - .2.2 the losing recognized organization, for ships 15 years of age and above;
- .3 before giving the opportunity to the flag Administration to provide any further instructions within three working days.

1.1.5 When facilities are not available in the first port of survey, an interim classification certificate might be issued to allow the ship to undertake a direct voyage to a port where facilities are available to complete the required surveys and/or rectify overdue recommendations/conditions of class. In such cases:

- .1 the surveys specified in section 2.2 should be carried out to the maximum extent practicable at the first port of survey, but in no case less than the scope of surveys required in paragraphs 2.2.2.1.1 and 2.2.2.2 in cases where both gaining and losing recognized organizations agree; and
- .2 the recognized organization completing the overdue items should inform the other recognized organization of the decision taken, direct voyage conditions agreed and the agreed port survey.

1.1.6 The validity of the interim classification certificate and the subsequent classification certificate should be subject to any outstanding recommendations/conditions of class previously issued against the ship being completed by the due date and as specified by the losing recognized organization. Any outstanding recommendations/conditions of class with their due dates should be clearly stated on:

- .1 the interim classification certificate or an attachment to the interim classification certificate, and/or survey record of class-related matters available on board; and
- .2 the survey status of class-related matters when the full term classification certificate is issued.

1.1.7 The gaining recognized organization should, within one month from issuing its interim classification certificate, advise the losing recognized organization of the date of issuing this certificate and confirm the date, location and action taken to satisfy each overdue survey and overdue recommendation/condition of class, if any, issued against the subject ship as specified to the owner by the losing recognized organization.

1.1.8 Any additional information regarding outstanding surveys or recommendations/conditions of class received from the losing recognized organization in accordance with paragraph 1.2.3 should be dealt with in accordance with paragraphs 1.1.4 to 1.1.6, as applicable, and reported to the losing recognized organization within one month from the completion of the survey. If this additional information is received after the interim classification certificate has been issued, any surveys or recommendations/conditions of class which are overdue should be dealt with at the first port of call by:

- .1 the gaining recognized organization for ships less than 15 years of age; and
- .2 the losing recognized organization for ships 15 years of age or over.

1.1.9 If the conditions set out in paragraph 1.1.8 are not fulfilled, the interim classification certificate should be withdrawn immediately and the Administration so advised, unless the owner agrees to proceed directly, without further trading, to a suitable port where any overdue surveys or overdue recommendations/conditions of class should be carried out by the relevant recognized organization based on the age of the ship.

1.1.10 Prior to final acceptance of class-related matters, the gaining recognized organization's obligation should be to:

- .1 carry out the review of survey records of class-related matters of the losing recognized organization to the extent deemed necessary but not less than those items indicated below in order to prepare auditable documentation of this review:
 - .1.1 damages by events and dates^{*};
 - .1.2 major repairs/rectifications by dates^{*};
 - .1.3 conversion of hull-dates^{*};
 - .1.4 major alterations of machinery installation-dates^{*};
 - .1.5 condition evaluation/hull summary report if applicable;
 - .1.6 type of cargoes (coal, logs, aggressive bulks, chemical product, type of oil), when available;
 - .1.7 history of recommendations/conditions of class^{*};
 - .1.8 thickness measurements from last renewal survey and subsequent thickness measurements, including areas with substantial corrosion;

* As retained by the losing recognized organization.

- .1.9 report of last renewal survey and subsequent periodical reports;
 - .1.10 information on coating condition of water ballast tanks*;
 - .1.11 restrictions/limitations in navigation area;
 - .1.12 optional photos when available;
- .2 advise the losing recognized organization in writing of the anticipated date of final acceptance of class-related matters.

1.1.11 The gaining recognized organization may, if deemed necessary, carry out the review of survey records of class-related matters of other recognized organizations which had previously issued a classification certificate for the ship.

1.1.12 Within one month of the date of final acceptance of class-related matters, the gaining recognized organization should advise the losing recognized organization and the Administration. In cases where the losing recognized organization has reported recommendations/conditions of class on the ship, the gaining recognized organization should provide the losing recognized organization with an itemized list of actions taken with the date and location and actions to be taken, to satisfy each recommendation/condition of class.

1.1.13 The reporting by the gaining recognized organization to the losing recognized organization required in paragraphs 1.1.7 to 1.1.9 and 1.1.12 should be done in accordance with the harmonization of reporting as contained in the appendix.

1.2 Obligations and reporting of the losing recognized organization

1.2.1 If an owner advises the losing recognized organization of an intention to transfer class-related matters, the losing recognized organization should immediately confirm to the owner any overdue surveys and outstanding recommendations/conditions of class.

1.2.2 The losing recognized organization should:

- .1 within two working days of receipt of a written request, at its headquarters or one of its designated control or management centres, notify the gaining recognized organization of the latest details of class-related matters in its possession including a full list of overdue surveys and recommendations/conditions of class - with the respective due dates - issued against the subject ship.

In cases where the status of class-related matters is received in a language not readily understood by the gaining recognized organization or contains vague or unclear descriptions, the losing recognized organization should provide additional detailed information on request of the gaining recognized organization. The losing recognized organization should advise the gaining recognized organization of the possibility of further recommendations/conditions of class arising from surveys which the losing recognized organization knows have been carried out but for which reports have not yet been received;

* As retained by the losing recognized organization.

- .2 make available, within one month of the receipt of the request referred to in paragraph 1.2.2.1, all survey records class-related matters to the gaining recognized organization for record review and relevant reporting, to the extent this information is in the possession of the losing recognized organization, to enable the gaining recognized organization to prepare auditable documentation, in accordance with paragraph 1.1.10;
- .3 alternatively to the requirements in paragraph 1.2.2.2, upon request, provide the gaining recognized organization, within one month of the receipt of the request referred to in paragraph 1.2.2.1, a copy of all the survey records of class-related matters, to enable it to prepare auditable documentation, in accordance with paragraph 1.1.10. These survey records should be transferred electronically if electronic files are available; and
- .4 submit, within one month of the receipt of the request referred to in paragraph 1.2.2.1, any auditable documentation regarding class-related items (see paragraph 1.1.10.1) available from prior transfers of class-related matters performed after 1 July 2001.

1.2.3 The losing recognized organization would have one month from issuance of its survey status of class-related matters to the gaining recognized organization as per paragraph 1.2.2 to forward to the gaining recognized organization:

- .1 the additional information on outstanding surveys and/or recommendations/conditions of class arising from surveys performed proximate to the date of the owner's written request for transfer of class-related matters which were not included in the said status; and
- .2 the structural diminution allowances which were applicable to the ship.

1.2.4 In order to ensure mutual exchange of information on ships transferring class-related matters and on the survey status of such ships, the losing recognized organization should, on completion of a withdrawal of the classification certificate, notify the gaining recognized organization.

1.2.5 Should the losing recognized organization, upon receiving information from the gaining recognized organization, pursuant to the disposition of the transfer of class-related matters, have clear grounds for believing that the gaining recognized organization did not fulfil its obligations as specified in section 1.1, the losing recognized organization should notify the gaining recognized organization and the Administration of its concerns and attempt to resolve any differences with the gaining recognized organization.

1.3 Other requirements

1.3.1 The obligations of the gaining and losing recognized organizations should continue to apply when a ship's classification certificate is suspended and for six months following withdrawal of a ship's classification certificate.

1.3.2 Any differences, which could not be settled between the gaining and losing recognized organizations, should be brought to the attention of the Administration for final resolution.

1.3.3 Recognized organizations, which may have issued classification certificates for the ship prior to the losing recognized organization, should have the same obligations contained in paragraph 1.2.2.2 or 1.2.2.3 as the obligations of the losing recognized organization, if so requested by the gaining recognized organization, in accordance with paragraph 1.1.11.

2 Technical requirements

2.1 Plans and information

2.1.1 The gaining recognized organization should request copies of plans showing the main scantlings and arrangements of the actual ship and machinery, together with any proposals for alterations being dealt with, from the owner. Receipt of plans listed in section 3, or equivalent, alternative technical data in lieu of specific plans or items, should be identified to the owner as a prerequisite to the issuance of a full term classification certificate by the gaining recognized organization.

2.1.2 However, having made a good faith effort to obtain the information, if it proves not practicable to acquire certain plans as listed in section 3, or equivalent, alternative technical data, the gaining recognized organization might issue the full term classification certificate provided that its records of class-related matters document that the ship is being accepted under its requirements for class-related matters on the basis of a recorded internal review of the circumstances prevailing with respect to availability of plans.

2.1.3 Upon receiving the requested plans and documents, the gaining recognized organization should, prior to issuing the full term classification certificate, review the submitted plans and documents and deal with the result of the review appropriately.

2.2 Surveys

2.2.1 A survey of the scope of a renewal or initial survey, as appropriate, should be carried out by the gaining recognized organization. However, where both losing and gaining recognized organizations are in agreement, the above scope of survey might be modified as per paragraph 2.2.2.

2.2.2 Notwithstanding the records indicating that all surveys are up to date, a survey should be held by the gaining recognized organization, the extent of which should be based on the age of the ship and the losing recognized organization's status of class-related matters as follows:

- .1 hull survey should:
 - .1.1 for ships of age less than 5 years the survey, take the form of an annual survey;
 - .1.2 additionally, for ships between 5 and 10 years of age, include inspection of a representative number of ballast spaces;
 - .1.3 additionally, for ships of 10 years of age and above but less than 20 years of age, include inspection of a representative number of cargo spaces;
 - .1.4 for oil tankers and bulk carriers of 500 GT and above which are 15 years of age and above but less than 20 years of age, take the form of a full renewal survey or a full intermediate survey, whichever is due next;

- .1.5 for all ships, which are 20 years of age and above, take the form of a full renewal survey;
- .1.6 in the context of applying items in paragraphs 2.2.2.1.4 and 2.2.2.1.5, if a dry docking of the ship is not due at the time of transfer, consider the conduct of an underwater examination in lieu of dry-docking;
- .2 machinery survey should include a general examination of all essential machinery should be held and, in particular, the examination of:
 - .2.1 oil fuel burning equipment of boiler, economisers and steam/steam generators under working conditions. The adjustment of safety valves of this equipment should be verified by checking the records on the ship;
 - .2.2 all pressure vessels;
 - .2.3 insulation resistance, generator circuit breakers, preference tripping relays and generator prime mover governors to be tested and paralleling and load sharing to be proved;
 - .2.4 in all cases, navigating lights and indicators and their working and alternative sources of power should be verified;
 - .2.5 bilge pumps, emergency fire pumps and remote control for oil valves, oil fuel pumps, lubricating oil pumps and forced draught fans under working conditions;
 - .2.6 recirculating and ice clearing arrangements, if any;
 - .2.7 the main and all auxiliary machinery necessary for operation of the ship at sea together with essential controls and steering gear to be tested under working conditions. Alternative means of steering should also be tested. A short sea trial should be held at the surveyor's discretion if the ship has been laid up for a long period;
 - .2.8 initial start arrangements to be verified;
 - .2.9 in the case of oil tankers, the cargo oil system and electrical installation in way of hazardous spaces to be checked for compliance with the gaining recognized organization's rule requirements. Where intrinsically safe equipment is installed, the surveyors should satisfy themselves that a recognized authority has approved such equipment. The safety devices, alarms and essential instruments of the inert gas system should be verified and the plant generally examined to ensure that it does not constitute a hazard to the ship.

3 Plans to be submitted by the owner to the gaining recognized organization

3.1 Plans to be submitted

The following plans should be submitted by the owner to the gaining recognized organization:

- .1 main plans – general arrangement – capacity plan – hydrostatic curves – loading manual, where required;
- .2 steel plans – midship section – scantling plan – decks – shell expansion – transverse bulkheads – rudder and rudder stock – hatch covers; and
- .3 machinery plans – machinery arrangement – intermediate, thrust- and screw shafts – propeller – main engines, propulsion gears and clutch systems (or manufacturer make, model and rating information) – for steam turbine ships, main boilers, superheaters and economisers (or manufacturer make, model and rating information) and steam piping – bilge and ballast piping diagram – wiring diagram – steering gear systems piping and arrangements and steering gear manufacturer make and model information.

3.2 Torsional vibration calculations

3.2.1 For ships of less than 2 years of age, torsional vibration calculations should be submitted by the owner to the gaining recognized organization.

3.3 Additional requirements for ships with ice class notation

3.3.1 Plans for flexible couplings and/or torque limiting shafting devices in the propulsion line shafting (or manufacturer make, model and rating information) should be submitted by the owner to the gaining recognized organization.

3.4 Additional plans required for oil tankers

3.4.1 Pumping arrangement at the forward and after ends and drainage of cofferdams and pump rooms should be submitted by the owner to the gaining recognized organization.

3.5 Additional plans required for unattended machinery space notation

3.5.1 The following additional plans should be submitted by the owner to the gaining recognized organizations:

- .1 instrument and alarm list;
- .2 fire alarm system;
- .3 list of automatic safety functions (e.g. slowdowns, shutdowns, etc.); and
- .4 function testing plan.

APPENDIX

HARMONIZATION OF REPORTING

ITEM	ACTION	LOCATION	DATE	GAINING RO's REPORT REQUIREMENTS
Overdue survey	Commenced	Port	Survey date	To list items credited and items remaining to be credited, if any. To explain why the entire survey was not completed at this port. To list conditions for direct voyage to port where survey will be completed, including the need to discharge current cargo if applicable.
Overdue survey	Continued	Port	Survey date	In cases where surveys are continued at the port where the current cargo is discharged, to list items credited and items remaining to be credited, if any. To explain why the entire survey was not completed at this port. To list conditions for direct voyage to port where survey will be completed.
Overdue survey	Completed	Port	Survey date	To list place and date where survey was completed.
Overdue recommendation/ condition of class	Cleared	Port	Survey date	To explain actions taken to complete overdue recommendation/condition of class as specified by losing organization.
Overdue recommendation/ condition of class	Commenced	Port	Survey date	In cases where overdue recommendations/conditions of class are postponed or partly postponed at the port where the current cargo is discharged, to list items credited and items remaining to be credited, if any. To explain why the overdue recommendation was not completed at this port. To list conditions for discharge voyage to port where recommendation will be completed as specified by losing organization.
Overdue recommendation/ condition of class	Cleared	Port	Survey date	To list date, place and actions taken for completion of overdue recommendation/conditions of class.
