

MODEL COURSE 3.22

FLAG STATE IMPLEMENTATION

2010 Edition

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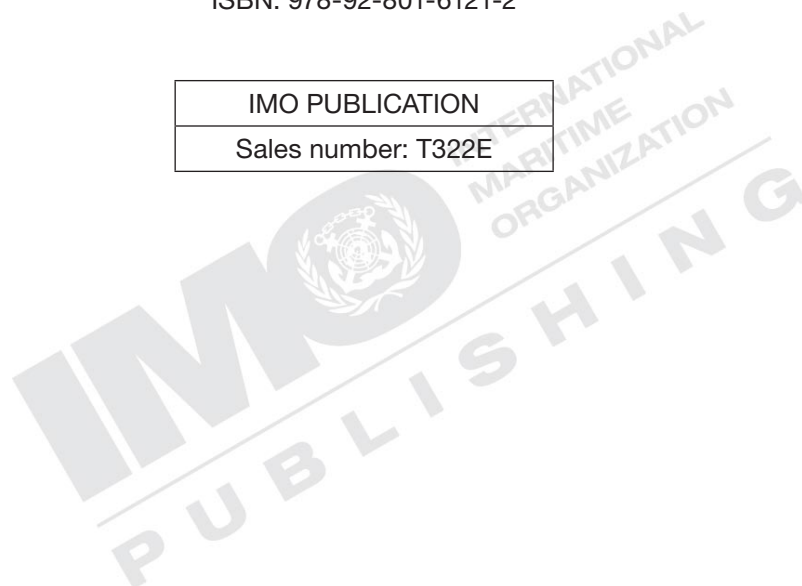


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Foreword

Since its inception the International Maritime Organization (IMO) has recognized the importance of human resources to the development of the maritime industry and has given the highest priority to assisting developing countries in enhancing their maritime training capabilities through the provision or improvement of maritime training facilities at national and regional levels. IMO has also responded to the needs of developing countries for postgraduate training for senior personnel in administrations, ports, shipping companies and maritime training institutes by establishing the world Maritime University in Malmö, Sweden, in 1983.

Following the adoption of the International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978 (STCW), a number of IMO Member Governments had suggested that IMO should develop model training courses to assist in the implementation of the Convention and in achieving a more rapid transfer of information and skills regarding new developments in maritime technology. IMO training advisers and consultants also subsequently determined from their visits to training establishments in developing countries that the provision of model courses could help instructors improve the quality of their existing courses and enhance their implementation of the associated Conference and IMO Assembly resolutions.

In addition, it was appreciated that a comprehensive set of short model courses in various fields of maritime training would supplement the instruction provided by maritime academies and allow administrators and technical specialists already employed in maritime administrations, ports and shipping companies to improve their knowledge and skills in certain specialized fields. With the generous assistance of the Government of Norway, IMO developed model courses in response to these generally identified needs and now keeps them updated through a regular revision process taking into account any amendments to the requirements prescribed in IMO instruments and any technological developments in the field.

These model courses may be used by any training institution and, when the requisite financing is available, the Organization is prepared to assist developing countries in implementing any course.

E. E. MITROPOULOS
Secretary-General



Introduction

Purpose of IMO model courses

The purpose of the IMO model courses is to assist maritime training institutes and their teaching staff in organizing and introducing new training courses, or in enhancing, updating or supplementing existing training material where the quality and effectiveness of the training courses may thereby be improved.

It is not the intention of the model course programme to present instructors with a rigid “teaching package” which they are expected to “follow blindly”. Nor is it the intention to substitute audio-visual or “programmed” material for the instructor’s presence. As in all training endeavours, the knowledge, skills and dedication of the instructor are the key components in the transfer of knowledge and skills to those being trained through IMO model course material.

Because educational systems and the cultural backgrounds of trainees in maritime subjects vary considerably from country to country, the model course material has been designed to identify the basic entry requirements and trainee target group for each course in universally applicable terms and to specify clearly the technical content and levels of knowledge and skill necessary to meet the technical intent of IMO conventions and related recommendations.

Use of the model course

To use the model course the instructor should review the subject outline and the detailed teaching syllabus in each module, taking into account the information provided under the entry standards specified in the subject framework. The actual level of knowledge and skills and the prior technical education of the trainees in the subject concerned should be kept in mind during this review and any areas within the detailed teaching syllabus which may cause difficulties because of differences between the actual trainee entry level and that assumed by the course designer, should be identified. To compensate for such differences, the instructor is expected to delete from the course, or to reduce the emphasis on items dealing with knowledge or skills already attained by the trainees. Instructors should also identify any academic knowledge, skills or technical training which they may not have acquired.

By analysing the detailed syllabus and the academic knowledge required to allow training in the technical area to proceed, the instructor can design an appropriate pre-entry course or, alternatively, insert the elements of academic knowledge required to support the technical training elements concerned at appropriate points within the technical course.

Adjustment of the course objectives, scope and content may also be necessary if in your fisheries industry the trainees completing the course are to undertake duties which differ from the course objectives specified in the model course.

Within the course plan the course designers have indicated their assessment of the time which should be allotted to each area of learning. However, it must be appreciated that these allocations are arbitrary and assume that the trainees have fully met all entry requirements of the course. The instructor should therefore review these assessments and may need to reallocate the time required to achieve each specific learning objective or training outcome.

Lesson plans

Having adjusted the course content to suit the trainee intake and any revision of the subject objectives, the instructor should draw up lesson plans based on each detailed syllabus. The detailed syllabus contains specific references to the textbooks or teaching material proposed to be used in the course. An example of a lesson plan is given for guidance only. Where no adjustment has been found necessary in the learning objectives of a detailed syllabus, the lesson plans may simply consist of the detailed syllabus with key words or other reminders added to assist the instructor in making his or her presentation of the material.

Presentation

The presentation of concepts and methodologies must be repeated in various ways until the instructor is satisfied that the trainee has attained each specific learning or training objective. The syllabus is laid out in learning objective format and each objective specifies a required performance or, what the trainee must be able to achieve as the learning or training outcome.

Implementation

For the course to run smoothly and to be effective, considerable attention must be paid to the availability and use of:

- Properly qualified instructors
- Support staff
- Rooms and other spaces
- Workshops and equipment
- Suggested reference material, textbooks, technical papers
- Other reference material.

Thorough preparation is the key to successful implementation of the course. IMO has produced a booklet entitled “Guidance on the implementation of IMO model courses”, which deals with this aspect in greater detail. A copy of this booklet is included as an appendix to this model course.

Alternative versions

As explained in Part A, the material exposed in Part D and in the course Compendium is intended to be usable either for the “standard version” of the one week course on Flag State Implementation, or for the advanced course, which needs course duration in excess of one week.

Part B describes a recommended one week “standard” course, and proposes a two week possible version. The more developed version cannot be standardized, and on the contrary has to be tailor-made for each group of participants, and for the training strategy and organizational policy within each maritime Administration. (The two week version proposed in Part B2 is therefore to be considered as a mere example, certainly not as a standard).

The detailed teaching syllabus in Part C is related to the one week version.

Part A: Course framework

Scope

This course is intended to provide officers of the Maritime Safety Administration with information on the different obligations and duties of the Flag State as required by the United Nations Convention on the Law of the Sea (UNCLOS). It describes how the Flag State Administration would efficiently discharge such obligations and duties.

This course also covers the international standards and obligations originated from the IMO International Conventions and other mandatory instruments, as detailed in IMO Resolution A.996(25) "Code for the implementation of mandatory IMO instruments, 2007". Moreover, this course covers the roles of the Maritime Safety Administration with regard to the non-convention ships and the working conditions and occupational safety of seafarers (ILO conventions).

(The course includes classroom instructions, supported where necessary by on job field training).

Objectives

This model course aims to assist Flag State Administrations in improving the ability of officers in charge to efficiently implement the international and national safety, pollution prevention and maritime security standards.

The trainees having successfully attended this course will be able to:

- develop their familiarity with IMO and other relevant instruments,
- develop their awareness on the need of the flag State to regulate the safety of non-convention ships as well,
- ensure their understanding of the different tasks that contribute in the full implementation of the applicable rules and regulations,
- improve their skills and abilities as maritime administrators, marine surveyors, inspectors or any other capacities involved in the Flag State (FSI) activities.

Entry standard

This course is open for officers in Maritime Safety Administrations, either experienced or intended to start this career, as for example:

- ship surveyors,
- officers in charge of ship plans review,
- officers in charge of regulation making,
- officers in charge of the internal quality management system, or training, documentation, or statistics,
- officers in charge of accident investigations,

- managers of local inspection centres,
- managers in charge of an overall responsibility.

One week basic training module

The course contents in Parts B and C could be used to conduct the (one week) basic training module.

Advanced FSI course

When there is a need for more advanced approaches, the basic course module could be conducted for specialist trainees or for higher level managers in deeper and much expanded syllabus.

The expanded FSI course will have a list of subjects that could be quite the same as for one week basic module, whereas more time will be available for deepening the different aspects, mainly through practical exercises or workshops. Part B2 also contains a recommended example of the course with duration of about 2 weeks instead of one.

Course certificate, diploma or document

On successful completion of this course, a document should be issued certifying that the holder has successfully completed either the basic or the advanced module. However, such a certificate does not confer any specific professional qualifications, unless supplemented with on-the-job experience.

Course intake limitations

The recommended number of trainees should not exceed 20.

Staff requirements

The recommended teaching staff is preferably composed of two senior instructors with experiences in maritime safety administration practices, ship surveying and regulations making. The different subjects are shared between them according to their respective backgrounds.

Teaching facilities, equipment and documentation

Ordinary classroom facilities and an overhead projector are sufficient for the theoretical part of the course. When making use of audiovisual material such as videos or slides, make sure the appropriate equipment is available.

In addition, a sufficient number of copies of the main conventions and resolutions that are dealt with during the course, and mentioned below as “IMO and other references”, should be available in the classroom. One copy of each of the References R0, R2 to R6 and R11 in

the list below, should be available to each participant. The other documents R should be available in a more limited number of copies. The documents with R' references should be used as appropriate for the advanced FSI course of an extended duration.

Teaching aids (A)

- A1 Instructor Manual (Part D of the course)
- A2 "What is IMO?": a set of 6 PowerPoint presentations, dated 2006.
Access path: www.imo.org – About IMO – What is IMO (PowerPoint)

References (R)

- R0 Resolution A.996(25) "Code for the implementation of mandatory IMO instruments", 2007
- R1 United Nations Convention on the Law of the Sea (UNCLOS), 1982
http://www.un.org/Depts/los/convention_agreements/texts/unclos/unclos_e.pdf
- R2 The International Convention for the Safety of Life at Sea, 1974, as amended (SOLAS 1974) (IMO Sales No. 110E)
- R3 The International Convention for the Prevention of Pollution from Ships, 1973, as amended (MARPOL 1973) (IMO Sales No. IC520E)
- R4 The International Load Lines Convention, as amended (IMO Sales No. IB701E)
- R5 The International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978 (STCW 1978/95), as amended (IMO Sales No. IB938E)
- R6 Resolution A.997(25) "Survey guidelines under the harmonized system of survey and certification, 2007" (IMODOCS)
- R7 Code of safety for fishermen and fishing vessels, 2005 – Annex 38 to MSC 79/23/Add.3 (IMODOCS)
- R8 Draft safety recommendations for decked fishing vessels of less than 12 metres in length and undecked fishing vessels – Annex to SLF/51/5 (IMODOCS)
- R9 Maritime Labour Convention, 2006
http://www.ilo.org/global/What_we_do/InternationalLabourStandards/MaritimeLabourConvention
- R10 International Labour Organization Convention No. 92 "Accommodation of crews" (ILOLEX website)
- R11 Resolution A.739(18) "Guidelines for the Authorization of organizations acting on behalf of the Administration", 1993 (IMODOCS)
- R12 Procedures for port State control, edition 2000 (IMO-IA650E)
- R13 Casualty Investigation Code, 2008 – Annex to Resolution MSC.255(84) – Annex 4 to MSC 84/3 (IMODOCS)
- R14 Inspection of labour conditions on board ship – Guidelines for procedure – ILO, 1990 (ISBN 9221070964)
- R15 The International Regulation for Preventing Collision at Sea, 1972 (COLREG 1972), as amended (IMO Sales No. IB904E)
- R16 Article "Possible framework for a model maritime Administration", http://www.imo.org/includes/blastDataOnly.asp/data_id%3D3935/modeladministration.pdf
- R17 Article "Safety regulations for non-convention vessels: the IMO approach"
http://www.imo.org/includes/blastDataOnly.asp/data_id%3D18002/Safety.pdf

Course compendium (T)

- T1 The process of conformity certification
- T2 A short introduction to the United Nations Convention on the Law of the Sea
- T3 Convention of the United Nations on the Law of the Sea, Articles 94 and 217
- T4 Summary of status of IMO Conventions
- T5 IMO and flag State implementation
- T6 IMO and fishing vessel safety
- T7 Address by Efthimios E. Mitropoulos "Safety of fishing vessels"
- T8 The ILO and the ILO Conventions
- T9 What are classification societies?
- T10 Minimum content of national laws and regulations
- T11 Annex to Resolution MSC.255(84): Casualty Investigation Code (table of contents)
- T12 New Regulation SOLAS XI-1/6, to enter into force on 01/01/2010
- T13 IMO, what it is, what it does, how it works
- T14 SOLAS – Introduction and history
- T15 History of oil pollution and IMO – MARPOL Annex I
- T16 MARPOL Annex II
- T17 MARPOL Annex VI
- T18 The Load Lines Convention
- T19 Introduction to STCW
- T20 Preamble to the ISM Code
- T21 Global Integrated Shipping Information System

Further references suggested for advanced courses (R')

- R'1 IMO document LEG/MISC.6: Implications of the UNCLOS for IMO, 2008 (IMODOCS)
- R'2 Resolution A.1009(25): Relations with non-governmental organizations (IMODOCS)
- R'3 Resolution A.881(21): Self-assessment of flag State performance (IMODOCS)
- R'4 FAL.2/Circ.87-MEPC/Circ.426-MSC/Circ.1151: Revised list of certificates and documents required to be carried on board ships (IMODOCS)
- R'5 MSC.82/INF.12: Codes, recommendations, guidelines and other non-mandatory instruments (IMODOCS)
- R'6 MSC-MEPC.1/Circ.2: Guidelines on the organization and method of work of the maritime safety committee and the marine environment protection committee and their subsidiary bodies (IMODOCS)
- R'7 MSC-MEPC.5/Circ.2: Guidelines for Administrations to ensure the adequacy of transfer of class between recognized organizations (IMODOCS)
- R'8 MSC/Circ.1140-MEPC/Circ.424: transfer of ships between States (IMODOCS)
- R'9 FSI 17/3: Status of UNCLOS (IMODOCS)
- R'10 GL 1/6: Report of the ad hoc consultative meeting of senior representatives of international organizations on the "genuine link", together with its Annexes 4 to 6 (IMODOCS)

Part B: Course outline and timetable

Part B1 – Course outline and timetable

Basic FSI training module (one week)

Subject Area	Lecture	Hours
1.	Introduction	1.5
2.	IMO: what it is, how it works, what it does, how member States participate	1.5
3.	Introduction to the responsibilities and obligations of the flag State:	
	3.1 The UNCLOS Convention and the flag State	1.0
	3.2 Summing up the flag State's duties	0.5
	3.3 FSI and Res A.996(25)	3.0
4.	IMO Conventions and the flag State implementation:	
	4.1 SOLAS, including ISM, ISPS and other related Codes	4.0
	4.2 MARPOL	2.0
	4.3 Load Lines	0.5
	4.4 STCW and its implementation	1.0
	4.5 Other IMO Conventions	1.5
5.	The process of ship and equipment conformity certification	3.0
6.	Safety of non-convention ships	1.5
7.	ILO, ILO Conventions and their implementation	1.5
8.	Recognized organizations, delegations and how to control them	1.5
9.	Outline of a national legislation and administrative organization	1.5
10.	Port State control	1.5
11.	Accident investigation	1.5
12.	Course review and assessment	1.5
TOTAL		30

One week basic training module

Course timetable

Period/Day	Day 1	Day 2	Day 3	Day 4	Day 5
1st period (1.5 hrs)	1. Introduction	3.3 Res. A.996 (contd)	4.2 MARPOL (contd)	5. The process of ship and equipment conformity certification (contd)	9. Outline of a national legislation and of an administrative organization
2nd Period (1.5 hrs)	2. IMO: what it is, how it works, what it does, how member States participate	4. IMO Conventions 4.1 SOLAS	4.3 Load Lines 4.4 STCW	6. Safety of non-convention ships	10. Port State control
3rd Period (1.5 hrs)	3. Responsibilities of the flag State 3.1 UNCLOS and the obligations of the flag State	4.1 SOLAS (contd)	4.5 Other IMO Conventions	7. The ILO; ILO Conventions implementation	11. Accident investigation
4th Period (1.5 hrs)	3.2 Summing up the flag State's duties 3.3 FSI and Res. A.996(25)	4.1 SOLAS (contd) 4.2 MARPOL	5. The process of ship and equipment conformity certification	8. Recognized organizations, delegations, how to control them	12. Course review and assessment

Part B2 – Advanced FSI course

Further to the one week basic training module, extra sessions, workshops or practical exercises, would be profitably developed to illustrate the overall review of the “flag State’s duties and how to discharge them”. Suggestions are proposed for an expanded course, which is suggested to be of a two week duration. A possible corresponding time table is proposed at the end of this section, having in mind that the content has to be adapted to each type of audience according to the profiles and needs of the participants.

The following areas of training could be supported by extra workshops or practical exercises

Supplements to Session 2 – IMO

- detailed analysis of documents to be supplied to IMO by the Administration
- need for an “IMO focal point” within the Administration: discussion on corresponding tasks, elaboration of the function definition (workshop)
- command of the use of the IMO website and IMODOCS: detailed introduction to their use, drills related to retrieval of documents
- detailed analysis of a Committee or sub-Committee session: contents, procedures, role of the chairman, role of the secretariat, how a delegate has to behave (from the experience of colleagues having experience as delegates to IMO meetings; also refer to R’6 and R’2)
- how a delegate to an IMO session has to prepare; how to report; how to keep involved parties within own country well informed on what is going on in IMO
- how to draft a submission to IMO: workshop consisting in preparing a submission on a defined subject (for instance, comments on a proposal by the Secretariat)

Supplements to Session 3.1 – UNCLOS

- deepening the study on the relationship between UNCLOS and IMO instruments (using the analysis in T2 para 3)
- discussing the concept of “genuine link” (refer to R’10 and to UNCLOS Art. 91)

Supplements to Session 4.1 – SOLAS

- more developments about the ISM Code, in order to convince participants about the self-prescriptive approach it promotes
- more detailed analysis of what remains applicable to existing ships in the previous versions of SOLAS
- more explanations on different specialized technical issues (GMDSS, IBC Code, HSC Code) or on emerging issues (LRIT, Goal Based Standards, ...)

Supplements to Session 4.2 – MARPOL

- implementation of the different annexes in the country or in the region
- understanding the oil record book (drill)

- the content of the SOPEP (workshop)
- more details about technical details of Annex I
- more about Annex II, in case the country has significant chemical activity
- an emerging issue: implementation of Annex VI

Supplements to Session 4.3 – LL66

- a practical exercise on board a ship: inspection of all details related to the conditions of assignment of freeboard

Supplements to Session 4.4 – STCW

- exercise on seafarer certificates recognition or endorsement
- workshop/discussion on the quality control of qualification assessment and certificate issuance

Supplements to Session 4.5 – Other IMO conventions

- further developments on selected IMO conventions of major interest for the attendance
- focus on more recent conventions (e.g. AFS) or future conventions (e.g. BWM) and their impact for the flag Administration

Supplements to Session 5 – Plan approval process

- more detailed analysis of the plan approval process: for instance, presentation of the process by those in charge to their colleagues, or presentation of the process in another country for the sake of comparison and discussion
- devise the list of documents to be submitted for approval of a defined category of ships, taking account of the guidelines in Res. A.997(25) (workshop)
- participate on board a ship in a simulated initial survey or annual survey (which may be profitable only with very small groups of not more than 5 persons)
- participate in functional testing of an equipment (for instance a life saving appliance)
- consider and explain the list of certificates to be carried on board ships (refer to R'4)

Supplements to Session 6 – Non-convention ships

- a discussion and reflection on the extent of the coverage of the national fleet with applicable technical regulations may profitably be engaged with the participants, taking account of the specific features in the country(ies)
- the situation in the country in terms of plan approval of fishing vessels
- description of the fishing vessel construction technology in a shipyard to be visited, followed by a simulated construction surveillance inspection in that shipyard

Supplements to Session 7 – ILO and ILO conventions

- discussion on the impact of the entry into force of MLC 2006 in terms of administrative processes and organization
- specific features of inspections for compliance with ILO 147 requirements (intervention by an experienced surveyor)

Supplements to Session 8 – Recognized organizations

- using an existing plan approval file, identify the subjects that were examined by the classification society (workshop)
- detailed study of the existing working agreement with a classification society, with the view to verify that it is fully up-to-date (workshop/discussion)
- are the delegations by the Administration to classification societies effectively monitored and controlled? (discussion)
- identify the criteria for authorizing an “authorized expert” and defining the authorization scope (workshop)
- what the Administration has to take care of in case of a transfer of class between ROs (workshop, using particularly R11 and R’7)

Supplements to Session 9 – National legislation, administrative organization

- filling in a flag State performance self assessment form, following IMO Res. A.881(21) (group exercise)
- compare own national legislation and regulations with the “minimum content” proposed in the course, explain the possible differences (discussion/workshop)
- which policy orientations does the organization of our maritime administration reflect? (discussion)
- develop awareness on non-mandatory IMO instruments, and discuss which ones should be made mandatory under the national legislation (refer to R’5)

Supplements to Session 10 – Port State control

- the synergy between PSC and FSI in our country, how to improve it (discussion)
- participate in a PSC inspection (small group, not more than 5)
- the benefit of being partner in a MoU for PSC (discussion)
- how to improve the actions we take as a flag State following deficiencies reported from PSC inspections in foreign ports (workshop based on actual case studies)
- presentation of accident statistics and lessons learnt by those in charge

Supplements to Session 11 – Accident investigation

- how to improve the exploitation of occupational accidents (workshop)
- consideration of a recent casualty statistical report by the FSI sub-Committee of IMO (workshop)

Proposed timetable for a 2 weeks extended training module

Period/Day	Day 1	Day 2	Day 3	Day 4	Day 5
1st period (1.5 hrs)	1. Introduction	3.3 Res. A.996 (25) (contd)	4.1 SOLAS (contd)	4.2 MARPOL (contd)	4.5 Other IMO Conventions
2nd Period (1.5 hrs)	2. IMO: what it is, how it works, what it does, how member States participate	2. Group exercise: function definition of an "IMO focal point" in the Administration	4.1 SOLAS (contd) 4.1 The ISM Code, a self-prescriptive approach	4.2 An emerging issue: implementation of MARPOL Annex VI	4.5 Emerging conventions and the flag State: AFS, BWM
3rd Period (1.5 hrs)	3. Responsibilities of the flag State 3.1 UNCLOS and the obligations of the flag State	2. Workshop: how to draft a national submission in view of an IMO meeting.	4.1 The ISPS Code and the flag State	4.2 Drill: understanding the oil record book	5. The process of ship and equipment conformity certification
4th Period (1.5 hrs)	3.2 Summing up the flag State's duties 3.3 FSI and Res. A.996(25)	4. IMO Conventions 4.1 SOLAS	4.2 MARPOL	4.3 Load Lines 4.4 STCW	5. The process of ship and equipment conformity certification (contd)

Period/Day	Day 6	Day 7	Day 8	Day 9	Day 10
1st period (1.5 hrs)	5. Demonstration of an annual survey on board a ship	6. Safety regulations in our country, and their implementation situation (discussion, workshop)	8. The working agreement (workshop)	10. Simulation of a port State control inspection on board a ship	10. Simulation of a fishing vessel construction surveillance inspection, together with explanation of the construction technology
2nd Period (1.5 hrs)		7. The ILO, ILO Conventions and their implementation	9. Outline of a national legislation and of an administrative organization		
3rd Period (1.5 hrs)	5. Recapitulation and exploitation of findings, decision to be made, observations	7. The impact of the future entry into force of ILO MLC 2006 (workshop)	9. Filling a flag State self assessment form (group exercise)	10. Debriefing, reporting and action taken	11. How to improve the exploitation of the occupational accident statistics (workshop)
4th Period (1.5 hrs)	6. Safety of non-convention ships	8. Recognized organizations, delegations, how to control them	10. Port State control	11. Accident investigation	12. Course review and assessment



Part C: Detailed teaching syllabus

The detailed teaching syllabus has been written in learning objective format in which the objective describes what the trainee must do to demonstrate that knowledge has been transferred.

All objectives are understood to be prefixed by the words, “The expected learning outcome is that the trainee”.

In order to assist the instructor, references are shown against the learning objectives to indicate IMO or other references and publications, additional technical material and teaching aids, which the instructor may wish to use when preparing course material. The material listed in the Course Framework has been used to structure the detailed teaching syllabus, in particular.

The abbreviations used are:

Ann	annex
Art	article
App	appendix
Ch	chapter
para	paragraph
Reg	regulation
Conv	convention
Prot	protocol

The following are examples of the use of references:

R1 Art 94.2(b) refers to paragraph 2 b) of Article 94 of the UNCLOS Convention

R2 Reg II-2/12 refers to regulation 12 in chapter II-2 of the SOLAS Convention

Learning objectives		References	Teaching aids
1.	Introduction to the course (1.5 hours)		A1 para 1
1.1.	Presentation of course objectives		A1 para 1.1
	.1 is aware that the different roles of the State in relation to maritime safety will be reviewed: the flag State, the coastal State, the port State, the State as a member of the international community		
	.2 expects that the course will concentrate on the roles of the flag State, which will be identified (including their origins, which can be international, regional, national or local), understood, described in their contents and implementation		
1.2.	Presentation of working methods and practical details		A1 para 1.2
	.1 adheres to the principle of an interactive, open way of teaching, where (s)he will be permanently invited to ask for clarification or to refer to own experience		
	.2 is aware of and adheres to working hours and practical details		
	.3 is informed on which documents will be distributed		
	.4 is informed about the provisions related to course final assessment and to attendance certificate		
2.	IMO: what it is, how it works, what it does, how member States participate (1.5 hours)		A1 para 2 A2 for the whole session
	1. states that IMO is a specialized agency within the UN system	T13 para 1	
	2. comments on the IMO motto		
	3. is aware that IMO is first composed of its member States, the number of which makes it close to universal		
	4. describes the main IMO bodies: Assembly, Council, Committees, sub-Committees	T13 para 1 T13 para 3	
	5. states that the IMO secretariat is organized in parallel with the main Committees, so as to efficiently play its role in supporting IMO bodies' work	T13 para 3	
	6. states that the consultative bodies, though not members, bring a significant contribution to IMO work	T13 para 3	
	7. describes the model process for elaboration, adoption and entry into force of a convention	T13 para 2	
	8. is aware that the current list of IMO Conventions, including their status, is available on the IMO website	T4	
	9. describes the main amendment procedures, is aware of the difference between the tacit and explicit procedures	T13 para 2	
	10. describes the different kinds of documents prepared and circulated by IMO: conventions, protocols, amendments; resolutions; codes; circulars, circular letters, notes verbales, and is aware of their numbering and coding system	T13 para 2	
	11. is able to operate the IMO website and to retrieve documents in the IMODOCS database		
	12. lists the categories of information that are available on the GISIS database	T21	

Learning objectives		References	Teaching aids
3.	13. explains that the technical co-operation is a major IMO priority, describes the main features of WMU and other IMO training institutes	T13 para 2	A1 para 3.1
	14. gives different examples of the information to be supplied to IMO by member States, and explains the reasons	R2 Art 3; R2 Reg I/6b; R2 Reg I/21; R2 Reg I/4b ...	
	3. Introduction to the responsibilities and obligations of the flag State		
	3.1 The UNCLOS Convention and the flag State (1 hour)		
	1. states that UNCLOS is the “mother convention” with regard to the role of States in relation to maritime safety and pollution prevention	T2 para 3	
	2. briefly describes the history of UNCLOS and some reasons for the nations to have adopted it	T2 para 1	
	3. briefly explains the matters dealt with in UNCLOS	T2 para 2	
	4. states that Parts VII and XII are the most relevant to FSI	T2 para 2	
	5. gives different examples illustrating the role of IMO in implementing UNCLOS	T2 para 3	
	6. explains the concept of a ship’s nationality, including the “genuine link” between the State and the ship	R1 Art 91–92	
3.2	7. is aware of the central importance for FSI of UNCLOS Art 94 and 217	T3	A1 para 3.2
	3.2 Summing up the flag State’s duties (0.5 hour)		
	1. explains the different duties of the flag State as set out in Article 94 of UNCLOS	T3	
	2. explains the added value of Art 217 further to the concepts developed in Art 94: prohibition from sailing (para 2), carriage of certificates (para 3), investigation following violations (para 4), assistance between States in case of a violation (para 5 to 7)	T3	
	3. recapitulates the main duties with regard respectively to the seafarers, to the ship, to the international community, and is aware that all these duties will be detailed in the different IMO instruments		
	4. identifies Res A.996(25) as the IMO guide to implementation of these duties	R0	
	5. is aware that R0 does not cover the flag State duties in relation with “non-SOLAS ships”, while the duties defined in UNCLOS cover all ships, as developed in session 6 of the course	R0 para 6; T3	
	6. is similarly aware that R0 does not fully cover labour conditions and occupational safety, as developed in session 7 of the course	R0 para 6	

Learning objectives	References	Teaching aids
3.3 FSI and Res A.996(25) (3 hours) 1. explains why it is important that IMO strongly promotes flag State implementation 2. describes some significant aspects of the efforts and achievements made under the co-ordination of the FSI sub-Committee: elaboration of guidelines for national administrations, promotion of regional port State control agreements, introduction of the VIMSAS 3. explains the present and potential importance of the VIMSAS 4. states that A.996(25) is the IMO Code for the implementation of IMO mandatory instruments, as an update of the previous versions A.847(20) and A.973(24) 5. explains that A.996(25) is the reference document for the assessment of a national maritime administration under the VIMSAS 6. explains the different paragraphs in the covering resolution 7. explains that a State has to develop its own strategy 8. lists the conventions that are the scope of R0, and notes that this only includes the IMO mandatory instruments, and has therefore to be supplemented with the ILO instruments and the national regulations 9. explains the initial actions by the State, which consist in a legal and regulatory system, and in adequate personnel 10. is aware on the importance of record keeping, and adheres to the principle of permanent improvement, as the bases of quality assurance and quality management 11. lists the main tasks of the flag State that need to be made feasible through appropriate resources, organization and processes 12. is aware that delegations of authority have to be controlled, as exposed in session 8 of the course 13. lists the different measures that contribute in the enforcement 14. describes the desirable profile and qualification for flag State surveyors 15. is aware of the need to carry out investigations following marine casualties or incidents, as developed in session 11 of the course 16. lists possible indicators and criteria to be used for evaluation and review, which is a major component in a quality management system 17. states that Annex 1 contains a non-exhaustive list of obligations of the national administration, with reference to the article or regulation which specifies each of them	T5 para 1 T5 para 1 T5 para 2; Res A.975(24) R0 title R0 covering resolution R0 covering resolution R0 para 3 R0 para 6 R0 para 7 R0 para 10 to 14 R0 para 15 to 17 R0 para 18 to 20 R0 para 21 to 26 R0 para 27 to 37 R0 para 38 to 41 R0 para 42 to 44 R0 Ann 1	A1 para 3.3

Learning objectives		References	Teaching aids
	18. states that Annex 2 contains a non-exhaustive list of obligations, specific to the flag administration, with reference to the article or regulation which specifies each of them	R0 Ann 2	A1 para 4.1
	19. states that Annex 5 lists the different codes and resolutions made mandatory under SOLAS, MARPOL or STCW	R0 Ann 5	
4.	IMO Conventions and the flag State implementation		
4.1	SOLAS, including ISM, ISPS and other related Codes (4 hours)		
	1. briefly tells the history of the different SOLAS Conventions, and states that SOLAS 1974 is still in force	T14	
	2. explains the layout of the Convention, the 1988 Protocol and the annex	R2 table of contents	
	3. lists the information to be communicated to IMO under Art III of the 1988 Protocol	R2 Prot Art III	
	4. is aware on possible exceptions under Art IV or V of the Convention	R2 Conv Art IV and V	
	5. explains the reasons why the tacit amendment procedure is most commonly used	R2 Conv Art VIII	
	6. explains the other articles in the Convention and the Protocol	R2 Conv and Prot	
	7. states that Chapter I is subject to the explicit amendment procedure only, and explains that the reason for that is that its content has to be kept steady enough	R2 Ch I	
	8. lists the exceptions to the application of SOLAS	R2 Reg I/3	
	9. explains the concept of “exemption” and the corresponding action to be taken by the flag State	R2 Reg I/4	
	10. explains the concept of “equivalence” and the corresponding action to be taken by the flag State	T2 Reg I/5	
	11. explains the survey and certification system, as developed in session 5 of the course	R2 Reg I/6 to I/14	
	12. states that Reg I/19 introduces the most commonly used definition of port State control, as developed in session 10 of the course	R2 Reg I/19	
	13. describes the obligation to carry out accident investigations, as developed in session 11 of the course	R2 Reg I/21	
	14. explains the layout of Chapter II-1	R2 Ch II-1	
	15. explains the requirement for existing ships to comply with the earlier requirements	R2 Reg II-1/1.2	
	16. explains different examples of arrangements that require an approval by the Administration	R0 Ann 2	
	17. explains the concept of alternative arrangement	R2 Reg II-1/25-1.3	
	18. explains the concept of “to the satisfaction of the Administration”	R2 Reg II-1/29.1	
	19. explains the layout of Chapter II-2	R2 Ch II-2	

Learning objectives	References	Teaching aids
20. explains the need for the FSS Code	R2 Reg II-2/3.22	
21. explains different examples of arrangements that require an approval by the flag Administration	R0 Ann 2	
22. explains some examples of an exemption	R2 Reg II-2/10.7.1.4	
23. explains the methodology for alternative design and arrangements	R2 Reg II-2/17	
24. explains the layout of Chapter III	R2 Ch III	
25. explains the need for the LSA Code	R2 Reg III/3.10	
26. explains the steps to be taken by the Administration with regard to evaluation, testing and approval of life-saving appliances and arrangements	R2 Reg III/4	
27. explains that the Administration has to require life-saving appliances to be subjected to production tests	R2 Reg III/5	
28. states that servicing stations for inflatable liferafts have to be approved	R2 Reg III/20.8.1.2	
29. explains that an allowance for extended liferaft service intervals has to be notified to the IMO	R2 Reg III/20.8.5	
30. states that SOLAS Ch IV is applicable to ships of more than 300 gross tonnage	R2 Reg IV/1.1	
31. explains the GMDSS functional requirements	R2 Reg IV/4	
32. states that SOLAS Ch IV also includes obligations for the coastal State	R2 Reg IV/5	
33. explains that radio equipment has to be type-approved by the Administration	R2 Reg IV/14.1	
34. states that the Administration has to ensure that the radio equipment is properly maintained	R2 Reg IV/15.5	
35. states that radio personnel has to hold certificates	R2 Reg IV/16.1	
36. states that radio records have to be kept to the satisfaction of the Administration	R2 Reg IV/17	
37. explains the layout and contents of SOLAS Ch V	R2 Ch V	
38. states that Ch V also includes obligations for the coastal State	R2 Reg V/5 to V/13	
39. states that the obligation for ships to be sufficiently and efficiently manned is based on SOLAS Reg V/14	R2 Reg V/14	
40. states that the Administration has to be satisfied with the maintenance of navigational equipment	R2 Reg V/16	
41. states that electromagnetic compatibility of bridge equipment has to be tested	R2 Reg V/17	
42. states that navigational equipment has to be type-approved	R2 Reg V/18.1	
43. states that the Administration has to require manufacturers to have quality control systems	R2 Reg V/18.5	

Learning objectives	References	Teaching aids
44. explains the contents, and importance with regard to safety at sea, of Ch VI 45. states that the cargo securing manual is subject to approval by the Administration 46. states that the Administration has to decide on the acceptability of certain bulk cargoes for shipment 47. explains the content of Ch VII, in relation with the different Codes that are made mandatory under this chapter 48. explains the importance of the ISM Code in view of initiating, within the companies and on board, a process of permanent improvement 49. states that ships and companies have to be certified for their compliance with the ISM Code requirements 50. states that the functioning of the ship safety management system is subject to periodical verification 51. states that high speed craft have to hold a specific certificate 52. states that recognized organizations have to comply with specific requirements, as developed in session 8 of the course 53. states that bulk carriers are subject to an enhanced programme of inspections 54. states that the flag Administration issues a continuous synopsis record to each ship 55. explains that, within further steps, the IMO unique company and registered owner identification number scheme could contribute in reinforcing the effectiveness of the continuous synopsis record 56. states that ships have to be certified as compliant with the ISPS Code 57. states that Chapter XII addresses additional safety measures for bulk carriers 58. states that the booklet required for bulk carriers has to be endorsed by the flag Administration 59. states that the Administration approves the software for bulk carriers' stability calculations 60. lists the Codes and Resolutions that are made mandatory under SOLAS, each of them containing obligations for the Administration	R2 R2 Ch VI Reg VI/5.6 R2 Reg VI/6 R2 Ch VII T20 R2 Reg IX/4 R2 Reg IX/6.1 R2 Reg X/3 R2 Reg XI-1/1 R2 Reg XI-1/2 R2 Reg XI-1/5.3 Res MSC.160(78) R2 Reg XI-2/4.2 R2 Ch XII R2 Reg XII/8.1 R2 Reg XII/11.3 R0 Ann 5	
4.2 MARPOL (2 hours) 1. briefly tells the history of IMO and marine pollution prevention 2. explains the layout of the MARPOL 1973 Convention, the 1978 Protocol and the annexes 3. explains that, under the Convention, the Governments "undertake to give effect to its provisions", which includes the development of a compliance strategy 4. explains that the Administration has to co-operate in detection of violations and in investigation and action following them	T15 R3 table of contents R3 Conv Art 1 R3 Conv Art 6	A1 para 4.2

Learning objectives	References	Teaching aids
5. explains that any party has to report on incidents involving harmful substances	R3 Conv Art 8	
6. lists the information to be communicated to IMO, and explains the differences with the similar obligations under SOLAS (T2, Prot Art III)	R3 Conv Art 11	
7. states that the Administration has to communicate to IMO the exemptions and waivers it grants in relation with construction or equipment requirements	R3 Ann I Reg 3.3	
8. states that the Administration has to communicate to IMO the arrangements it accepts as equivalent to those required by the Convention	R3 Ann I Reg 5.2	
9. states that the Administration issues the IOPP certificate, after due surveys	R3 Ann I Reg 6, 7	
10. states that the Administration approves the design of ships of less than 400 gross tonnage with regard to oil discharge control	R3 Ann I Reg 15.6.2	
11. states that the Administration approves the written procedures for liquid transfer operation on board combination carriers	R3 Ann I Reg 27.3	
12. states that the Administration establishes requirements for pumping, piping and discharge in case of a part flow arrangement	R3 Ann I Reg 30.6.5.2	
13. states that the Administration approves oil discharge monitoring and control systems and related operational manuals	R3 Ann I Reg 31.2 and 31.4	
14. describes the use and content of the oil record book	R3 Ann I Reg 17 and Reg 36	
15. states that the Administration develops an appropriate oil record book for oil tankers of less than 150 gross tonnage	R3 Ann I Reg 36.9	
16. states that the Administration approves the shipboard oil pollution emergency plan	R3 Ann I Reg 37.1	
17. describes the general principles for prevention of marine pollution by noxious liquid substances in bulk under MARPOL Annex II	T16 para 1	
18. states that a revised MARPOL Annex II entered into force on 1st January 2007	T16 para 2	
19. states that chemical carriers are issued an international pollution prevention certificate for the carriage of noxious liquid substances in bulk (NLS Certificate)	R3 Ann II Reg 11	
20. states that ships are issued an international sewage pollution prevention certificate	R3 Ann IV Reg 5	
21. states that the sewage systems are subjected to approval by the Administration	R3 Ann IV Reg 9	
22. describes the general principles for prevention of marine pollution by waste from ships	R3 Ann V	
23. describes the general principles for prevention of air pollution from ships under MARPOL Annex VI	T17 para 1	

Learning objectives		References	Teaching aids
4.3	24. states that ships are issued an international air pollution prevention certificate	R3 Ann VI Reg 6	A1 para 4.3
	25. states that the Administration approves the documentation related to the production of nitrogen oxides by diesel engines	R3 Ann VI Reg 13.2.b	
	26. states that the Administration may prescribe a log book for ships using separate fuel oils with different sulphur content specifications	R3 Ann VI Reg 14.6	
	27. states that the Administration approves shipboard incinerators	R3 Ann VI Reg 16.2.a	
	Load Lines (0.5 hour)		
	1. briefly tells the history of the load lines conventions and of the 1966 Load Lines Convention	T18 para 1 and 2	
	2. explains that the adoption of the 1988 Protocol made it possible to amend and update the LL66 Convention	T18 para 3 and 4	
	3. explains the layout and principles of the Convention		
	4. explains that matters related to structural strength are to a large extent taken care of by classification societies	R4 Reg 1	
	5. explains the reasons why the issuance of international load lines certificates are most commonly delegated to recognized organizations	R4 Art 16.3	
4.4	6. explains why and how ship overloading is prohibited	R4 Reg 4 to 9	A1 para 4.4
	7. briefly describes the freeboard marks	R4 Reg 5	
	8. states that the master of a ship has to be provided with due stability information	R4 Reg 10	
	9. explains that the flag State surveyors or port State officers need to pay attention at any time in relation to the conditions of assignment of freeboard, and the actual condition of all devices that contribute in watertightness	R4 Reg 11 to 26	
	STCW and its implementation (1 hour)		
	1. explains that the human factor was increasingly taken in account in IMO work and IMO mandatory instruments	T19 para 1	
	2. explains that the 1978 STCW Convention was a significant step forward, with insufficiencies however	T19 para 2	
	3. explains the main principles and outline of the 1995 revision: the Convention, the Annex, the STCW Code	T19 para 3; R5	
	4. explains that the information to be communicated to IMO is used as a basis for compliance assessment and for a Party to the Convention to join the "White list"	R5 Reg I/7; T19 para 5	
	5. explains that, under STCW, the activities of training, assessment of competence and certification are managed through a monitoring and control system certified as compliant with a quality assurance system	R5 Reg I/8	
	6. states that the process for issuance and registration of certificates is required to be controlled	R5 Reg I/9	
	7. explains the concept of endorsement of a certificate	R5 Reg I/2	
	8. explains the principles for recognition of certificates	R5 Reg I/10	

Learning objectives	References	Teaching aids
9. states that the Administration holds the companies responsible for the assignment of seafarers for service in their ships, and for compliance with the related requirements 10. states that the Administration enforces rest periods for watchkeeping personnel and requires adequate organization and arrangements for fatigue prevention 11. states that Chapters II to VIII set out the qualification requirements for the different functions on board, and that these requirements are detailed in the corresponding chapters of the Code 12. states that national provisions are to be established in order to investigate reported incompetency or fraud, and to impose sanctions	R5 Reg I/14 R5 Reg VIII/1 and VIII/2 R5 Ch II to VIII R5 Reg I/5	
4.5. Other IMO Conventions (1.5 hours) 1. is able to find a list of the IMO Conventions and their respective status 2. states that under the Tonnage Convention, 1969, a tonnage certificate is required on board ships 3. identifies COLREG1972 as a mandatory instrument addressed in A.996(25) 4. briefly explains the content and importance of COLREG 1972 5. states that CSC 1972 deals with the structural strength of containers 6. states that the SFV Protocol 1993 and STCW-F 1995 regrettably did not gather sufficient ratifications for their entry into force 7. states that the SAR 1979 Convention is the basis for organizing regional agreements for search and rescue 8. states that STP 1971 is a special trade passenger ships agreement 9. states that the AFS Convention 2001, aiming at controlling the use of eco-toxic anti-fouling coatings, entered into force in 2008 10. states that the date of entry into force of the BWM Convention 2004, aimed at preventing ocean pollution by micro-organisms from ballast waters, is not determined yet 11. lists other conventions that do not significantly result in specific duties for the flag State: Inmarsat, FAL, LC, Intervention, CLC and Fund, Nuclear, PAL, LLMC, SUA, Salvage, OPRC, HNC, Bunkers, BWM, Nairobi WR	T4 R0 para 6 and Ann 2 R0 para 6 R15 T4 T7 T4 T4 T4 T4 T4	A1 para 4.5 IMO website IMO website IMO website IMO website IMO website
5. The process of ship and equipment conformity certification (3 hours) 1. states that the key process for ensuring ships' safety and seaworthiness is their certification by the flag State, as required in UNCLOS Art 94 and illustrated, inter alia, in SOLAS Ch I 2. explains that the flag State has to certify the ship, including its equipment, for its compliance with the technical requirements set out in the conventions and regulations	T3 para 1 R2 Reg I/12	A1 para 5

Learning objectives	References	Teaching aids
3. explains that the process for ship conformity assessment, up to its certification, is described in detail in Res A.997(25) "Survey guidelines under the harmonized system of survey and certification" 4. explains the definitions of the initial survey in the IMO Conventions, e.g. SOLAS, and notes that they need to be made more explicit in guidelines 5. explains that the definition of the initial survey in R6 is more descriptive and practically workable, and lists the three main steps it includes 6. comments on the fact that 4.1.2.2.2 refers to "approved plans", which means that a plan approval process must be operated by the flag Administration 7. describes and comments the different steps in the full process of conformity certification, in their chronological order 8. describes the process for plan examination, and states that the flag Administration has to specify the related responsibilities and practicalities 9. identifies and reviews as an example the list of items to be considered during an initial survey (e.g. for the cargo ship safety construction certificate) 10. explains the need for construction surveillance, either by the Administration or by the classification society, in order to ascertain satisfactory workmanship 11. explains the concept of type approval for ship equipment or components 12. states that the issuance of international certificates at completion of the initial survey is defined in, e.g. SOLAS Reg I/12 13. states that this process is designed for surveys and certification under international requirements, and that it is advisable to use similar processes for issuing national certificates 14. describes the requirements for maintenance of conformity, which includes annual, intermediate, periodical, renewal surveys and maintenance of conditions after survey	R6 R2 Reg I/7(b)(i); R2 Reg I/8(b)(i) ... R6 para 4.1.2.2 R6 para 4.1.2.2.2 T1 para 1 T1 para 2 R6 Ann I para 2.1 T1 para 1.3 T1 para 3 R2 Reg I/12 Session 6 of the course R6 App 2; R2 Reg I/11	
6. Safety of non-convention ships (1.5 hours) 1. defines "non-SOLAS ships" taking account of the exceptions set out in SOLAS Reg I/3 2. explains that the following regulations are however applicable, to a certain extent, to the so-called "non-convention ships": SOLAS Reg III/6.2, Ch IV, V, VI, VII, Reg XI-1/3; MARPOL, LL 66, STCW, Tonnage 69, COLREG 72 3. states that non-convention ships are by far the most numerous, and need their safety to be taken care of by the flag State, as required in UNCLOS Art 94	R2 Reg I/3 R2; R3; R4; R5; T3 para 1	A1 para 6 R17 Introduction

Learning objectives	References	Teaching aids
4. explains that the flag States therefore need a process for certification of all ships, and technical regulations and standards against which they can assess their conformity 5. states that fishing vessels, due to their heavy casualty records, are in particular need for safety regulations 6. states that the flag States may use different available documents as bases for national regulations 7. explains and discusses the extent of coverage, in own country, of different types of ships with applicable technical regulations 7. ILO, ILO Conventions and their implementation (1.5 hours) 1. briefly explains the history and specific features of ILO: vision, approach, goals, achievements 2. states that ILO was early and continuously involved in working conditions and occupational safety at sea, complementary to the aspects dealt with by IMO 3. identifies the conventions covered by the umbrella convention ILO 147 "Merchant shipping, minimum standards, 1976" 4. states that ILO 92 covers provisions on accommodation spaces that have to be taken into account as soon as the stage of plan approval 5. states that ILO 134 requires the States that are parties to regulate different aspects of occupational safety 6. states that ILO published guidelines for inspection of labour conditions on board ships 7. states that the Maritime Labour Convention, adopted in 2006, will offer a consolidated standard covering the different aspects of working conditions and occupational safety 8. MLC 2006 will be based, as IMO Conventions, on a conformity assessment approach, with surveys and certification by the flag State 9. states that MLC 2006 is expected to enter into force within a relatively short period, resulting in possible need for adaptation of the administrative organization 8. Recognized organizations, delegations and how to control them (1.5 hours) 1. lists the occurrences of the references to "recognized organizations" or "classification societies" in the main IMO mandatory instruments 2. explains the history of ship classification and classification societies, and what ship classification is today 3. explains that for structural matters only classification societies can be authorized, while not so strictly specialized inspection bodies could in principle intervene for other matters 4. explains the importance, for the flag Administration, to keep control on the assignment of delegated authority	T6; T7 T8 para 1 T8 para 2 T8 para 2 R10 T8 para 3 R14 R9 R9 Reg 5.1.4 A1 para 7 A1 para 8.1 T9 para 1 and 2 A1 para 8.1 R11 General	A1 para 6 A1 para 7 A1 para 8

Learning objectives	References	Teaching aids
5. comments on SOLAS Reg XI-1/1, and explains that IMO adopted, on a mandatory basis, specifications for authorization of ROs 6. describes the content of Res A.739(18), and lists the main conditions for authorization as: – demonstrated technical skill (classification rules) – appropriate resources (worldwide network of surveyors) – formalized agreement with the delegating Administration – instructions to be followed in case of non-compliance – awareness of specific national requirements – record keeping system 7. explains the importance and content of the working agreement between a RO and the Administration, and states that IMO proposed a model agreement in order to assist the Administrations to that effect 8. explains that Resolution A.789 (19) specifies which skills are required from the recognized organizations 9. explains that IMO took action to prevent the risk related to transfer of class 10. explains the role of IACS in promoting quality and reliability amongst the profession of classification, through, in particular, the Code of Ethics, the Quality System Certification Scheme (1994), the Transfer of Class Agreement (1992), the co-operation with IMO 11. explains that, while the IMO criteria are applicable for organizations authorized under the IMO conventions, it may be useful for the Administration to authorize smaller expert bodies to assist them for certification of non-convention ships	A1 para 8.2 R11 R11 App 2; MSC/Circ.710 – MEPC/ Circ.307 A1 para 8.3 MSC-MEPC.5 Circ.2 T9 para 1 A1 para 8.5	A1 para 8.4
9. Outline of a national legislation and administrative organization (1.5 hours) 1. lists (non-comprehensively) the different duties of the maritime administration 2. gives examples of different options for the situation of the maritime administration in the government structure, and discusses their respective pros and cons 3. gives examples of factors that impact the organization mode for the maritime administration 4. lists the issues that are necessarily dealt with in national legislations and regulations 5. reminds that the most important asset for a maritime administration is to have a sufficient number of qualified surveyors	A1 para 9.1 A1 para 9.2 A1 para 9.3 T10 R0 para 27 to 36	A1 para 9
10. Port State control (1.5 hours) 1. defines port State control (PSC) and explains why, though it is not part of flag State implementation, it is important not to ignore it in an FSI course	A1 para 10.1	A1 para 10

Learning objectives	References	Teaching aids
2. gives some good reasons why PSC is needed 3. states that PSC is introduced in all mandatory IMO and ILO instruments 4. explains the main principles for PSC, as set out in SOLAS Reg I/19 5. explains that IMO adopted more detailed guidelines for PSC, Res A.787(19) as amended by Res A.882(21), and published a book "Procedures for PSC" (R12) 6. lists some limitations to the PSC inspections 7. states that the quality and efficiency of PSC inspections depend on the professional level of the PSC Officers, and defines the desirable profile of such Officers 8. describes and explains the interest of regional PSC agreements 9. explains that the flag Administration has to exploit the statistical returns from PSC inspections in foreign ports, which are relevant indicators for the national fleet quality	- A1 para 10.2 - A1 para 10.3 - R2 Reg I/19 - R12 - A1 para 10.4 - A1 para 10.5 - A1 para 10.6 - A1 para 10.6	
11. Accident investigation (1.5 hours) 1. states that accident investigations are required under UNCLOS and the major applicable IMO instruments 2. explains that the aim of such investigations is prevention, and is to be disconnected from any other objective 3. states that IMO developed methodologies for accident investigation 4. states that the new SOLAS Reg XI-1/6 makes it mandatory to conduct investigations in accordance with the Casualty Investigation Code 5. describes and comments the contents of the Casualty Investigation Code 6. lists the main principles of casualty investigations, as set out in the Code 7. states that IMO, since long ago, exploited casualty reports received from member States in order to learn lessons from them 8. explains that IMO developed harmonized reporting procedures and formats for Administrations to provide IMO with consistent and exploitable reports 9. explains that substantial data on maritime casualties and incidents are available under the auspices of the Global Integrated Shipping Information System (GISIS) 10. explains that not only major accidents are of interest for the sake of prevention, but also any accident, incident or near-accident, that should therefore be recorded, analysed and statistically exploited.	- A1 para 11.1 - R2 Reg I/21 - R2 Reg I/21(a) footnote - T12 - T11 - A1 para 1.2 - A1 para 11.3 - A1 para 11.3 - A1 para 11.3 - A1 para 11.4	A1 para 11
12. Course review and assessment (1.5 hours)		A1 para 12

PART D: Instructor manual

Introduction

This instructor manual provides guidance on the material to be presented during the course and reflects the views of the course designer on methodology and organization, and what is considered relevant and important in the light of his/her experience as an instructor. Although the guidance given should be of value initially, the course instructor should work out his/her own methods and ideas, refine and develop what is successful, and discard ideas and methods which are not effective.

Guidance is provided in *Guidance on the implementation of IMO model courses*, which includes a checklist for preparation of courses. Preparation and planning constitute a major contribution to effective presentation of the course.

The detailed teaching syllabus has been written in learning objective format. In order to assist the instructor, references are shown against the learning objectives to indicate teaching aids, references and course compendium and further references for advanced courses, which the instructor may wish to use when preparing course material.

The material has been arranged under the twelve following main headings, which reflect the recommended agenda for the course:

1. Introduction to the course
 - 1.1 Presentation of the course objectives
 - 1.2 Programme, working methods, practical details
2. IMO: what it is, how it works, what it does, how member States participate
3. Introduction to the responsibilities and obligations of the flag State:
 - 3.1 The UNCLOS Convention and the flag State
 - 3.2 Summing up the flag State duties
 - 3.3 FSI and Res A.996(25)
4. IMO Conventions and the flag State implementation:
 - 4.1 SOLAS, including ISM, ISPS and other related Codes
 - 4.2 MARPOL
 - 4.3 Load Lines
 - 4.4 STCW and its implementation
 - 4.5 Other IMO Conventions
5. The process of ship and equipment conformity certification
6. Safety of non-convention ships
7. ILO, ILO Conventions and their implementation

8. Recognized organizations, delegations and how to control them
9. Outline of a national legislation and administrative organization
10. Port State control
11. Accident investigation
12. Course review and assessment

1. Introduction to the course

1.1. Presentation of the course objectives

The objective of the course is to improve participants' ability to carry out the different tasks resulting from the applicable international rules and standards aimed at maritime safety and pollution prevention. The priority is not for them to acquire specific knowledge of the detailed contents of the conventions, regulations and procedures, but to have a clear overview and understanding of the overall mission of their administration, and to open their minds towards the best ways to fulfil it. This includes:

- overview on the different obligations of the State: the flag State, the coastal State, the port State, the State as a member of the international community;
- detailed review and explanation of the different roles of the flag State, as defined in the international instruments (IMO, ILO), as implemented and supplemented by the national laws and regulations;
- analysis of the different contributing processes (e.g. adoption of national laws and regulations, ship certification, ship inspection, issue of qualification certificates)
- reflection on the minimum content of the national regulations, the administrative organization, the resources needed, the different functions to be ensured.

The message to be carried is that each officer is in charge of Quality in flag State implementation, and is as such responsible for the overall performance of the Administration.

1.2. Programme, working methods, practical details

The programme and timetable for the course should be introduced and commented. The instructors will have devised their own programme, on the basis of the outline and timetable recommended in Part B, taking account of specific needs and profiles of the audience, as expressed by those organizing the session.

One week certainly is a too short duration for such an ambition. It will not be possible to study in detail the different relevant instruments. This constraint of the course has to be clearly explained during the initial presentation of the course, in order to prevent trainees from being frustrated to that respect: the course's aim is to provide an overall view and perspective on the State's obligations and how the administration should fulfil them; it cannot deal with the details of the conventions and regulations.

It is highly recommended that the trainees are clearly invited and encouraged to ask for the floor at any time for clarification or comments. The recommended limited size of the group,

not exceeding 20, makes it easily feasible to authorize a relaxed policy with regard to interventions. Having furthermore in mind that the objectives may also be to stimulate the team spirit in case the audience belongs to the same national administration, or the exchange of experiences and awareness development in case the trainees come from different countries or administrations, dialogues and discussions are to be explicitly encouraged.

2. IMO: what it is, how it works, what it does, how member States participate

The presentation of IMO may be made briefer only in case all participants are already familiar with it, possibly from having attended IMO meetings. In general, this presentation, or reminder for part of the audience, is an important one, because the trainees should be convinced that the obligations and duties left to the administration do not come from an unfamiliar “outside” they would not personally adhere to; on the contrary, they were defined by bodies in which they are, or they should be, active partners. The first message to be carried and promoted here is: “We are IMO!”.

It may be suggested here to make use of the set of six IMO PowerPoint presentations made in 2006 (referenced A2 in Part A).

The points to be stressed are at least:

- the history of the Organization, the fact that it is a specialized agency in the UN system;
- the motto “Safe, secure and efficient shipping on clean oceans”, and the IMO competency areas;
- the Members, the global worldwide coverage, the almost-universality their high number (169, to be updated at the date of the course) achieves;
- the consultative bodies: comment on their diversity, their usefulness in IMO work, in terms of expertise and in terms of consensual approach; give some examples of IGOs (ILO, ICAO, ...) and NGOs (IACS, ICS, seafarers’ Unions, environmental bodies, ...);
- the Secretariat, to be considered as the servant of the Members, primarily aimed at facilitating their efficient working together.

The more specific information to be developed includes:

- the main bodies and their respective roles: the Assembly, the Council, the Committees; the work organization, the working languages;
- the Committees and sub-Committees; the importance of their work programmes;
- the process for elaboration, adoption and entry into force of a convention or an amendment;
- the list of IMO Conventions and their respective status;
- the tacit or explicit adoption procedures for an amendment, the reasons why the tacit procedure is now extensively used;

- the Secretariat: its structure, in parallel with the main Committees; the budget, and who pays for it;
- the different instruments: conventions, protocols, amendments; resolutions; codes; circulars, circular letters and notes verbales;
- where and how IMO information can be found: the IMO website, IMODOCS, GISIS. It will be verified that trainees are able to use IMODOCS and the IMO website, are informed on the types of information available in GISIS and on the principles of their administration, as defined in the Circular letter No.2892 of 24 June 2008. Explanations or practical exercises will be proposed by the instructors in case some of them are not familiar enough, for instance during coffee breaks;
- the numbering and marking system of IMO documents;
- the technical co-operation;
- the training institutes;
- the information to be supplied to IMO by member States: some examples are given (e.g. national legislations, lists of recognized organizations, casualty reports); this point will be more developed under the different parts of the course.

3. Introduction to the responsibilities and obligations of the flag State

3.1 The UNCLOS Convention and the flag State

The justification of a lecture about the United Nations Convention on the Law of the Sea (UNCLOS) is that, where the IMO Conventions are the international “Law” concerning maritime safety and pollution prevention, the UNCLOS is, to say so, the “Constitution”. This statement is not correct with regard to the chronological history, but it has become legally correct since the entry into force of the UNCLOS in 1994.

In a brief history of the UNCLOS, it will be reminded that:

- UNCLOS was strongly needed for many different reasons (see T2 para 1);
- its birth and adoption was extremely difficult: 14 years’ discussion and effort were needed, the “3rd UN Convention on the law of the sea” took place from 1973 to 1982 (100 working weeks, 150 participating countries);
- it is a huge instrument: 320 articles, 17 parts, 9 annexes, containing 103 further articles;
- it is now close to universality: 157 parties to date, with still some major outsiders, however.

It is generally appreciated, by audiences who are not familiar with the UNCLOS, that the outline of the Convention is quickly explained, with some comments on the major concepts it introduces (see T2 para 2). Such explanation should be limited to an overview, aimed at general education, having in mind that the knowledge needed for operational purposes is fully exposed in IMO and other instruments, without any need for the flag State officer to refer to UNCLOS articles.

It will be stressed that IMO is the “Competent international organization” addressed in the UNCLOS in its provisions related to maritime safety, navigation efficiency, prevention of marine pollution from vessels and marine pollution control, in numerous articles, as illustrated in T2 para 3. This includes different duties for the flag State, and also for the port State and the coastal State; examples will be given for all of them.

The matter of nationality of ships, and the legal link between the vessel and her flag State (Articles 91 and 92) is to be mentioned.

More emphasis will be devoted to Articles 94 and 217, which specifically deal with the flag State’s obligations. Article 94 is analysed in detail under 3.2 of the course.

3.2 Summing up the flag State’s duties

It is recommended to read and comment word by word Article 94 of the UNCLOS Convention; the additional requirements in Article 217 can be more briefly mentioned.

The flag State obligations according to Article 94 (full text in T3.1) are the following:

- maintain a register of ships flying its flag (T3.1 para 2a);
- ensure safety at sea with regard to construction, equipment and seaworthiness of ships (T3.1 para 3a);
- ensure proper manning of ships, labour conditions, training of crews (T3.1 para 3b), which will be specified in STCW and the ILO Conventions;
- ensure navigational safety (T3.1 para 3c), which generates obligations for the flag State (developed in COLREG Parts C and D, in SOLAS Reg V/15 and following ones) and for the coastal State (SOLAS Reg V/4 to V/13);
- ensure conformance of ships to generally accepted international regulations, procedures and practices, where existent (T3.1 para 5); the view can be introduced at this stage of the course that this objective will mainly be reached through a certification by the flag State of the conformity of the ship and of its equipment to the applicable regulations and standards contained in IMO Conventions, possibly supplemented by national requirements;
- ensure that ships are surveyed (T3.1 para 4a), as more precisely specified in SOLAS Chapter I, inter alia;
- investigate and take action following non-conformances (T3.1 para 6);
- investigate following casualties (T3.1 para 7), as specified, inter alia, in SOLAS I/21.

The conclusion to be drawn from this overview on the UNCLOS is that the Convention is, for the flag State, the basis for different obligations, including the following, which will be more precisely defined in more specific instruments, as studied in the other Parts of this course:

- *with regard to the seafarers*: manning of ships (STCW), labour conditions (ILO Conventions);
- *with regard to the ship*: conformity certification, ascertaining its compliance with the applicable regulations and standards;

- *with regard to the international community:* casualty investigation, national laws and regulations for implementation and enforcement, participation in the international work, keeping international commitments.

IMO developed and adopted a guidance document that recapitulates the different obligations resulting from the IMO Conventions, Res A.996(25). However, we have to be aware that this Resolution does not fully cover those obligations of the flag State that are not prescribed and described in IMO Conventions, and in particular:

- safety of “non-convention” ships (this concept will be defined in part 6 of the course): taking care of the safety of ships that are not included in the application field of SOLAS is certainly not excluded by Art. 94 of UNCLOS; this matter, which is most important in terms of numbers of ships at risk, is to be dealt with by the flag State, as explained in part 6 of the course;
- labour conditions and occupational safety at sea, which are explicitly addressed in Art. 94, are mainly dealt with by ILO Conventions, as explained in part 7 of the course.

3.3 FSI and Res A.996(25)

This part of the course first reminds the history of flag State implementation within IMO (see T5 para 1). The importance of FSI with regard to effective maritime safety is to be strongly highlighted.

A.996(25) is to be introduced as the Code for the implementation of IMO instruments, which was developed as the basic tool for national administrations, for them to fully achieve the different tasks resulting from their duties and obligations.

Quite logically, A.996 is therefore the reference document against which the national administrations can be assessed under the IMO Voluntary Member State Audit Scheme (VIMSAS). The VIMSAS is to be introduced at this stage (refer to T5 para 2). It is useful to mention here that an increasing number of IMO member States are supporting the view that, in the future, the audit and certification of national maritime administrations should be made mandatory.

The detailed review of the content of A.996 is to be made at length; with more focus on the parts of it dealing with the flag State duties, but not neglecting those related to the port State and the coastal State.

This lecture on A.996, introductory but detailed, will be supplemented on the different specific topics by further sessions during the course:

- mandatory IMO instruments are listed in A.996 para 6, and the corresponding obligations for the flag State as detailed in Annexes 1 and 2, are developed in part 4 of the course “IMO Conventions”;
- initial actions, summarized in A.996 para 7 to 17, are detailed in part 9 of the course “Outline of a national legislation and administrative organization”;
- enforcement, flag State surveyors, summarized in A.996 para 21 to 37, are detailed in parts 5 “The process of ship and equipment conformity certification” and 9 “Outline of a national legislation and administrative organization” of the course;

- delegations of authority, summarized in A.996 para 18 to 20, are detailed under part 8 “Recognized organizations” of the course;
- accident/incident investigations, summarized in A.996 para 38 to 41, are detailed in part 11 “Casualty investigation” of the course.

The contents of the Annexes to A.996 will be identified during this session, but a number of the obligations they specify will be reviewed in detail later on during the course, under part 4 where the mandatory IMO instruments are studied.

4. IMO Conventions and the flag State implementation

4.1 SOLAS, including ISM, ISPS and other related Codes

Dealing with SOLAS within a few hours, a time allocation of 4 hours is suggested, is quite a challenge. This will be more conveniently done if each trainee has a copy of the consolidated Convention (reference R2), where he/she will be able to find the articles or regulations referred to in the course.

After a brief reminder on the history and layout of SOLAS, the articles of the Convention will be reviewed, using as a starting point the reference made to each of them in the table of A.996 Annex1.

Chapter I will be overviewed, starting from the reference made to its regulations in A.996 Annex 2, but this review should be brief, having in mind that the survey and certification issue will be dealt with in more detail in part 5 of the course.

Chapters II-1 and II-2 cannot be dealt with at length; they can only be illustrated with one or two examples of decisions by the administration, from the numerous items in A.996 Annex 2. For Chapters III to VII and IX to XII, it is desirable to explain in a few words, and possibly to discuss, the different regulations referred to in A.996 Annex 2. Concerning the Codes and Resolutions referred to in A.996 Annex 2, only a few examples, illustrative of the action by the flag State, will be given.

4.2 MARPOL

Similarly to SOLAS, MARPOL and its annexes will be overviewed within a limited time, using a selective approach. It is recommended that each trainee has a copy of the consolidated Convention (reference R3) where he can find the articles or regulations referred to in the course.

After a brief reminder on the history and layout of MARPOL, the articles of the Convention and 1978 Protocol will be reviewed, using as a starting point the reference made to each of them in the table of A.996 Annex1.

Examples of action by the flag State, selected from A.996 Annex 2, will be explained and discussed.

As a conclusion, the different kinds of tasks the flag State is required to carry out will be recapitulated.

4.3 Load Lines

The Load Lines Convention (LL66) is to be introduced as the oldest and most unanimously accepted international instrument for maritime safety. A brief historical reminder on the birth of the freeboard concept may be proposed. More recently, the impossibility for the technical amendments prepared between 1996 and 2000 to enter into force before the adoption of the tacit amendment procedure (1988 Protocol) is to be explained.

Here again, it is helpful to have copies of the Convention (reference R4) available for each trainee.

Under LL66, the ship is considered as a floating object, of which are to be ensured the buoyancy, watertightness, weathertightness and structural strength. The outline and content of the Convention will be briefly described. It is not necessary to enter into the technical details of the freeboard calculation. The following issues may lead to comments and discussion:

- the importance of the tacit acceptance procedure,
- the importance of and need for recognized organizations, illustrated through the content and wording of Regulation 1,
- the importance for the surveyors to be extremely careful at any time about the conditions of assignment of freeboard (Regulations 11 to 26).

Different obligations listed in A.996 Annex 2 will be reviewed and commented.

4.4 STCW and its implementation

The increasing awareness on the importance of the human factor for maritime safety is first to be highlighted. To that respect, the 1978 STCW Convention was a first attempt to have global standards for crew qualification. Describe the insufficiencies of the 1978 Convention (too many vague phrases, such as “to the satisfaction of the Administration”, different interpretations), leading to its revision by a conference in 1995.

STCW as revised in 1995 is to be described: its outline, its articles, the annex, the STCW Code, Parts A and B. Here again it is useful to have one copy of the Convention for each trainee (reference R5) for them to get into it.

Explain the new governmental responsibilities deriving from it:

- provide IMO with detailed evidence demonstrating that they are observing the requirements of the Convention,
- White List, maintained by IMO, of the member States deemed to have provided full and complete information,
- assessment and certification activities managed through a monitoring and control system compliant with quality assurance standards, and certified as such,
- procedures for investigating reports of incompetence or fraud, and to impose sanctions.