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FACILITATION COMMITTEE
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Agenda item 4

FAL 34/4
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ADOPTION OF PROPOSED AMENDMENTS TO THE CONVENTION

Consolidated text of the FAL Convention, as amended, incorporating the 2005 amendments

Note by the Secretariat

SUMMARY

Executive summary: As requested at FAL 33, this document provides the consolidated text of the FAL Convention, as amended, incorporating the 2005 amendments

Action to be taken: Paragraph 2

Related documents: -

1 As requested by the Committee, at its thirty-third session, the Secretariat has prepared a consolidated text of the FAL Convention and the Annex, as amended, incorporating the 2005 amendments, for ease of reference at FAL 34, set out in the annex.

Action requested of the Committee

2 The Committee is invited to note the above and decide as deemed appropriate.

ANNEX

**CONSOLIDATED TEXT OF THE FAL CONVENTION, INCORPORATING
THE 2005 AMENDMENTS (RESOLUTION FAL.8 (32))**

FAL Convention

**Convention on Facilitation of
International Maritime Traffic, 1965
as amended**

This text incorporates amendments up to the 2005 amendments (resolution FAL.8(32)).

Convention on Facilitation of International Maritime Traffic

THE CONTRACTING GOVERNMENTS:

DESIRING to facilitate maritime traffic by simplifying and reducing to a minimum the formalities, documentary requirements and procedures on the arrival, stay and departure of ships engaged in international voyages;

HAVE AGREED as follows:

Article I

The Contracting Governments undertake to adopt, in accordance with the provisions of the present Convention and its annex, all appropriate measures to facilitate and expedite international maritime traffic and to prevent unnecessary delays to ships and to persons and property on board.

Article II

- (1) The Contracting Governments undertake to co-operate, in accordance with the provisions of the present Convention, in the formulation and application of measures for the facilitation of the arrival, stay and departure of ships. Such measures shall be, to the fullest extent practicable, not less favourable than measures applied in respect of other means of international transport; however, these measures may differ according to particular requirements.
- (2) The measures for the facilitation of international maritime traffic provided for under the present Convention and its annex apply equally to the ships of coastal and non-coastal States the Governments of which are Parties to the present Convention.
- (3) The provisions of the present Convention do not apply to warships or pleasure yachts.

Article III

The Contracting Governments undertake to co-operate in securing the highest practicable degree of uniformity in formalities, documentary requirements and procedures in all matters in which such uniformity will facilitate and improve international maritime traffic and keep to a minimum any alterations in formalities, documentary requirements and procedures necessary to meet special requirements of a domestic nature.

Article IV

With a view to achieving the ends set forth in the preceding articles of the present Convention, the Contracting Governments undertake to co-operate with each other or through the Inter-Governmental Maritime Consultative Organization* (hereinafter called the "Organization") in matters relating to formalities, documentary requirements and procedures, as well as their application to international maritime traffic.

* The name of the Organization was changed to "International Maritime Organization" by virtue of amendments to the Organization's Convention which entered into force on 22 May 1982.

Article V

- (1) Nothing in the present Convention or its annex shall be interpreted as preventing the application of any wider facilities which a Contracting Government grants or may grant in future in respect of international maritime traffic under its national laws or the provisions of any other international agreement.
- (2) Nothing in the present Convention or its annex shall be interpreted as precluding a Contracting Government from applying temporary measures considered by that Government to be necessary to preserve public morality, order and security or to prevent the introduction or spread of diseases or pests affecting public health, animals or plants.
- (3) All matters that are not expressly provided for in the present Convention remain subject to the legislation of the Contracting Governments.

Article VI

For the purposes of the present Convention and its annex:

- (a) *Standards* are those measures the uniform application of which by Contracting Governments in accordance with the Convention is necessary and practicable in order to facilitate international maritime traffic;
- (b) *Recommended Practices* are those measures the application of which by Contracting Government is desirable in order to facilitate international maritime traffic.

Article VII

- (1) The annex to the present Convention may be amended by the Contracting Governments, either at the proposal of one of them or by a Conference convened for that purpose.
- (2) Any Contracting Government may propose an amendment to the annex by forwarding a draft amendment to the Secretary-General of the Organization (hereinafter called the "Secretary-General"):
 - (a) Any amendment proposed in accordance with this paragraph shall be considered by the Facilitation Committee of the Organization, provided that it has been circulated at least three months prior to the meeting of this Committee. If adopted by two thirds of the Contracting Governments present and voting in the Committee, the amendment shall be communicated to all Contracting Governments by the Secretary-General.
 - (b) Any amendment to the annex under this paragraph shall enter into force 15 months after communication of the proposal to all Contracting Governments by the Secretary-General unless within 12 months after the communication at least one third of Contracting Governments have notified the Secretary-General in writing that they do not accept the proposal.
 - (c) The Secretary-General shall inform all Contracting Governments of any notification received under subparagraph (b) and of the date of entry into force.

- (d) Contracting Governments, which do not accept an amendment, are not bound by that amendment but shall follow the procedure laid down in article VIII of the present Convention.

(3) A conference of the Contracting Governments to consider amendments to the annex shall be convened by the Secretary-General upon the request of at least one third of these Governments. Every amendment adopted by such conference by a two-thirds majority of the Contracting Governments present and voting shall enter into force six months after the date on which the Secretary-General notifies the Contracting Governments of the amendment adopted.

(4) The Secretary-General shall notify promptly all signatory Governments of the adoption and entry into force of any amendment under this article.

Article VIII

(1) Any Contracting Government that finds it impracticable to comply with any Standard by bringing its own formalities, documentary requirements or procedures into full accord with it or which deems it necessary for special reasons to adopt formalities, documentary requirements or procedures differing from that Standard, shall so inform the Secretary-General and notify him of the differences between its own practice and such Standard. Such notification shall be made as soon as possible after entry into force of the present Convention for the Government concerned, or after the adoption of such differing formalities, documentary requirements or procedures.

(2) Notification by a Contracting Government of any such difference in the case of an amendment to a Standard or of a newly adopted Standard shall be made to the Secretary-General as soon as possible after the entry into force of such amended or newly adopted Standard, or after the adoption of such differing formalities, documentary requirements or procedures and may include an indication of the action proposed to bring the formalities, documentary requirements or procedures into full accord with the amended or newly adopted Standard.

(3) Contracting Governments are urged to bring their formalities, documentary requirements and procedures into accord with the Recommended Practices in so far as practicable. As soon as any Contracting Government brings its own formalities, documentary requirements and procedures into accord with any Recommended Practice, it shall notify the Secretary-General thereof.

(4) The Secretary-General shall inform the Contracting Governments of any notification made to him in accordance with the preceding paragraphs of this article.

Article IX

The Secretary-General shall convene a conference of the Contracting Governments for revision or amendment of the present Convention at the request of not less than one third of the Contracting Governments. Any revision or amendments shall be adopted by a two-thirds majority vote of the Conference and then certified and communicated by the Secretary-General to all Contracting Governments for their acceptance. One year after the acceptance of the revision or amendments by two thirds of the Contracting Governments, each revision or amendment shall enter into force for all Contracting Governments except those, which, before its entry into force, make a declaration that they do not accept the revision or amendment. The Conference may by a two-thirds majority vote determine at the time of its adoption that a revision or amendment is of such a nature that any Contracting Government which has made such a declaration and which does not accept the revision or amendment within a period of one year after the revision or amendment enters into force shall, upon the expiration of this period, cease to be a Party to the Convention.

Article X

(1) The present Convention shall remain open for signature for six months from this day's date and shall thereafter remain open for accession.

(2) The Governments of States Members of the United Nations, or of any of the specialized agencies, or the International Atomic Energy Agency, or Parties to the Statute of the International Court of Justice may become Parties to the present Convention by:

- (a) signature without reservation as to acceptance;
- (b) signature with reservation as to acceptance followed by acceptance; or
- (c) accession.

Acceptance or accession shall be effected by the deposit of an instrument with the Secretary-General.

(3) The Government of any State not entitled to become a Party under paragraph 2 of this article may apply through the Secretary-General to become a Party and shall be admitted as a Party in accordance with paragraph 2, provided that its application has been approved by two thirds of the Members of the Organization other than Associate Members.

Article XI

The present Convention shall enter into force 60 days after the date upon which the Governments of at least 10 States have either signed it without reservation as to acceptance or have deposited instruments of acceptance or accession. It shall enter into force for a Government, which subsequently accepts it or accedes to it 60 days after the deposit of the instrument of acceptance or accession.

Article XII

Three years after entry into force of the present Convention with respect to a Contracting Government, such Government may denounce it by notification in writing addressed to the Secretary-General, who shall notify all Contracting Governments of the content and date of receipt of any such notification. Such denunciation shall take effect one year, or such longer period as may be specified in the notification, after its receipt by the Secretary-General.

Article XIII

- (1)
 - (a) The United Nations, in cases where they are the administering authority for a territory, or any Contracting Government responsible for the international relations of a territory, shall as soon as possible consult with such territory in an endeavour to extend the present Convention to that territory, and may at any time by notification in writing given to the Secretary-General declare that the Convention shall extend to such territory.
 - (b) The present Convention shall from the date of the receipt of the notification or from such other date as may be specified in the notification extend to the territory named therein.
 - (c) The provisions of article VIII of the present Convention shall apply to any territory to which the Convention is extended in accordance with the present article; for this purpose, the expression “its own formalities, documentary requirements or procedures” shall include those in force in that territory.
 - (d) The present Convention shall cease to extend to any territory one year after the receipt by the Secretary-General of a notification to this effect, or on such later date as may be specified therein.
- (2) The Secretary-General shall inform all the Contracting Governments of the extension of the present Convention to any territory under paragraph 1 of this article, stating in each case the date from which the Convention has been so extended.

Article XIV

The Secretary-General shall inform all signatory Governments, all Contracting Governments and all Members of the Organization of:

- (a) the signatures affixed to the present Convention and the dates thereof;
- (b) the deposit of instruments of acceptance and accession together with the dates of their deposit;
- (c) the date on which the Convention enters into force in accordance with article XI;
- (d) any notification received in accordance with articles XII and XIII and the date thereof;
- (e) the convening of any conference under articles VII or IX.

Article XV

The present Convention and its annex shall be deposited with the Secretary-General, who shall transmit certified copies thereof to signatory Governments and to acceding Governments. As soon as the present Convention enters into force, it shall be registered by the Secretary-General in accordance with Article 102 of the Charter of the United Nations.

Article XVI

The present Convention and its annex shall be established in the English and French languages, both texts being equally authentic. Official translations shall be prepared in the Russian and Spanish languages and shall be deposited with signed originals.

IN WITNESS WHEREOF the undersigned, being duly authorized by their respective Governments for that purpose, have signed the present Convention.*

DONE at London this ninth day of April 1965.

* Signatures omitted.

Annex

Section 1 - Definitions and general provisions

A. Definitions

For the purpose of the provisions of this annex, the following meanings shall be attributed to the terms listed:

Attempted stowaway. A person who is secreted on a ship, or in cargo which is subsequently loaded on the ship, without the consent of the shipowner or the master or any other responsible person, and who is detected on board the ship before it has departed from the port.

Cargo. Any goods, wares, merchandise, and articles of every kind whatsoever carried on a ship, other than mail, ship's stores, ship's spare parts, ship's equipment, crew's effects and passengers' accompanied baggage.

Crew's effects. Clothing, items in everyday use and other articles, which may include currency, belonging to the crew and carried on the ship.

Crew member. Any person actually employed for duties on board during a voyage in the working or service of a ship and included in the crew list.

Cruise ship. A ship on an international voyage carrying passengers participating in a group programme and accommodated aboard, for the purpose of making scheduled temporary tourist visits at one or more different ports, and which during the voyage does not normally:

- (a) embark or disembark any other passengers;
- (b) load or discharge any cargo.

Customs clearance. Accomplishment of the customs formalities necessary to permit goods to enter home use, to be exported or to be placed under another Customs procedure.

Customs release. Action taken by Customs authorities to permit goods undergoing clearance to be placed at the disposal of the persons concerned.

Document. Information presenting data by electronic means or by non-electronic means.

Estimated time of arrival (ETA). Time when a ship estimates it will arrive at the pilot station serving a port or, when it expects to enter a specific location in the port area, where port regulations apply.

Manifest. Document recapitulating the various data from bills of lading and other transport documents issued for the carriage of goods on board ships.

Passenger in transit. A passenger who arrives by ship from a foreign country for the purpose of continuing his journey by ship or some other means of transport to a foreign country.

Passengers' accompanied baggage. Property, which may include currency, carried for a passenger on the same ship as the passenger, whether in his personal possession or not, so long as it is not carried under a contract of carriage of goods or other similar agreement.

Port. Any port, terminal, offshore terminal, ship and repair yard or roadstead which is normally used for the loading, unloading, repair and anchoring of ships, or any other place at which a ship can call.

Postal items. Correspondence and other objects tendered to be carried by a ship for carriage by postal administrations and intended for delivery to postal administrations in the ship's ports of call.

Public authorities. The agencies or officials in a State responsible for the application and enforcement of the laws and regulations of that State which relate to any aspect of the Standards and Recommended Practices contained in this annex.

Security measures. Measures developed and implemented in accordance with international agreements to improve security on board ships, in port areas, facilities and of goods moving in the international supply chain to detect and prevent unlawful acts*.

Shipowner. One who owns or operates a ship, whether a person, a corporation or other legal entity, and any person acting on behalf of the owner or operator.

Ship's documents. Certificates and other documents which must be made available by a ship's master in order to demonstrate the vessel's compliance with international or national regulations.

Ship's equipment. Articles, other than ship's spare parts, on board a ship for use thereon, which are removable but not of a consumable nature, including accessories such as lifeboats, life-saving devices, furniture, ship's apparel and similar items.

Ship's spare parts. Articles of a repair or replacement nature for incorporation into the ship in which they are carried.

Ship's stores. Goods for use in the ship, including consumable goods, goods carried for sale to passengers and crew members, fuel and lubricants, but excluding ship's equipment and ship's spare parts.

Shore leave. Permission for a crew member to be ashore during the ship's stay in port within such geographical or time limits, if any, as may be decided by the public authorities.

Stowaway. A person who is secreted on a ship, or in cargo which is subsequently loaded on the ship, without the consent of the shipowner or the master or any other responsible person and who is detected on board the ship after it has departed from a port, or in the cargo while unloading it in the port of arrival, and is reported as a stowaway by the master to the appropriate authorities.

* Reference is made to the Convention for the Suppression of Unlawful Acts against the Safety of Maritime Navigation, 1988 (SUA Convention), the International Ship & Port Facility Security Code (ISPS Code) and the International Convention for the Safety of Life at Sea, 1974 (SOLAS), chapter XI-2.

Temporary admission. The Customs procedure under which certain goods can be brought into a Customs territory conditionally relieved, totally or partially, from payment of import duties and taxes and without application of import prohibitions or restrictions of economic character; such goods must be imported for a specific purpose and must be intended for re-exportation within a specified period and without having undergone any change except normal depreciation due to the use made of them.

Time of arrival. Time when a ship first comes to rest, whether at anchor or at a dock, in a port.

Transport document. Information evidencing a contract of carriage between a shipowner and a consignor, such as a sea waybill, a bill of lading or a multi-modal transport document.

B. General provisions

In conjunction with paragraph 2 of article V of the Convention, the provisions of this annex shall not preclude public authorities from taking such appropriate measures, including calling for further information, as may be necessary in cases of suspected fraud, or to deal with special problems constituting a grave danger to public order (*ordre public*), public security or public health, such as unlawful acts against the safety of maritime traffic and illicit trafficking in narcotic drugs and psychotropic substances, or to prevent the introduction or spread of disease or pests affecting animals or plants.

1.1 **Standard.** Public authorities shall in all cases require only essential information to be furnished, and shall keep the number of items to a minimum.

1.1.1 **Recommended Practice.** Public authorities should take into account the facilitation implications which may result from the introduction of systems for the electronic exchange of information, and should consider these in collaboration with shipowners and all other interested parties.

Existing information requirements and control procedures should be simplified, and attention should be given to the desirability of obtaining compatibility with other relevant information systems.

1.2 **Recommended Practice.** Notwithstanding the fact that documents for certain purposes may be separately prescribed and required in this annex, public authorities, bearing in mind the interests of those who are required to complete the documents as well as the purposes for which they are to be used, should provide for any two or more such documents to be combined into one in any case in which this is practicable and in which an appreciable degree of facilitation would result.

1.3 **Recommended Practice.** Measures and procedures imposed by Contracting Governments for the purposes of security or preventing the trafficking of narcotics should be efficient and, where possible, use information technology. Such measures and procedures (e.g. risk management and cross-checking of information) should be implemented in such a manner as to cause a minimum of interference with, and to prevent unnecessary delays to, ships and persons or property on board.

C. *Systems for the electronic exchange of information*

1.4 **Standard.** When introducing systems for the electronic exchange of information required by public authorities for the arrival, stay and departure of the ship, persons and cargo to facilitate clearance processes, Contracting Governments shall encourage public authorities and other parties concerned (shipowners, handling companies, seaports, and/or cargo agents, etc.) to exchange data in conformity with the relevant UN standards, including UN Electronic Data Interchange for Administration, Commerce and Transport (UN/EDIFACT) standards.

1.5 **Standard.** Public authorities shall accept any of the documents required for clearance processes in paper form, when produced by data processing techniques on plain paper, provided that they are legible, conform to the layout of the documents in the FAL Convention and contain the required information.

1.6 **Standard.** Public authorities, when introducing systems for the electronic exchange of information for clearance processes, shall limit the information they require from shipowners and other parties concerned to that required by the FAL Convention.

1.7 **Recommended Practice.** When planning for, introducing or modifying systems for the electronic exchange of information for clearance processes, public authorities should:

- (a) afford all interested parties, from the outset, the opportunity for consultation;
- (b) evaluate existing procedures and eliminate those which are unnecessary;
- (c) determine those procedures which are to be computerized;
- (d) use United Nations (UN) Recommendations and relevant ISO Standards to the maximum extent practicable;
- (e) adapt these systems for multimodal applications; and
- (f) take appropriate steps to minimize the cost of implementing these systems to operators and other private parties.

1.7.1 **Recommended Practice.** Contracting Governments should encourage public authorities and other parties concerned to co-operate or participate directly in the development of electronic systems using internationally agreed standards with a view to enhancing the exchange of information relating to the arrival, stay and departure of ships, persons and cargo and assuring inter-operability between the systems of public authorities and other parties concerned.

1.8 **Standard.** Public authorities, when introducing systems for the electronic exchange of information to assist clearance processes, shall encourage their use by maritime operators and other parties concerned but shall not reduce levels of service available to operators who do not use such systems.

1.8.1 **Recommended Practice.** Contracting Governments should encourage public authorities to introduce arrangements to enable trade and transport operators including ships to submit all the information required by public authorities in connection with the arrival, stay and departure of ships, persons and cargo, avoiding duplication, to a single entry point.

D. Illicit drug trafficking

1.9 **Recommended Practice.** Public authorities should seek to establish co-operation arrangements with shipowners and other parties concerned to improve their ability to combat drug smuggling, while providing enhanced facilitation. Such arrangements could be based on the Customs Co-operation Council* Memoranda of Understanding and the associated guidelines.

1.10 **Standard.** Where, as part of co-operation arrangements, public authorities, shipowners, and other parties concerned are provided access to sensitive commercial and other information, the information shall be treated confidentially.

E. Control techniques

1.11 **Standard.** Public authorities shall use risk management to enhance their border control procedures related to:

- the release/clearance of cargo;
- security requirements; and
- their ability to target smuggling,

thereby facilitating the legitimate circulation of persons and goods.

Section 2 - Arrival, stay and departure of the ship

This section contains the provisions concerning the formalities required of shipowners by the public authorities on the arrival, stay and departure of the ship and shall not be read so as to preclude a requirement for the presentation for inspection by the appropriate authorities of certificates and other papers carried by the ship pertaining to its registry, measurement, safety, manning and other related matters.**

A. General

2.1 **Standard.** Public authorities shall not require for their retention, on arrival or departure of ships to which the Convention applies, any documents other than those covered by the present section.

The documents in question are:

- General Declaration
- Cargo Declaration
- Ship's Stores Declaration
- Crew's Effects Declaration
- Crew List
- Passenger List

* Since 1994 known as the World Customs Organization.

** See FAL.2/Circ.87-MEPC/Circ.426-MS/Circ.1151.

- Dangerous Goods Manifest
- The document required under the Universal Postal Convention for mail
- Maritime Declaration of Health.

Note:

The following FAL forms have been developed, as presented in Appendix 1:

- General Declaration - FAL Form 1
- Cargo Declaration - FAL Form 2
- Ship's Stores Declaration - FAL Form 3
- Crew's Effects Declaration - FAL Form 4
- Crew List - FAL Form 5
- Passenger List - FAL Form 6
- Dangerous Goods Manifest - FAL Form 7.

2.1.1 **Standard.** Contracting Governments shall not require consular formalities, charges or fees in connection with documents for the clearance of ships.

2.1.2 **Recommended Practice.** Public authorities should develop procedures to use pre-arrival and pre-departure information in order to facilitate the processing of information required by public authorities for the expedited subsequent release/clearance of cargo and persons.

2.1.3 **Recommended Practice.** National legislation should specify the conditions for the lodgement of pre-arrival and pre-departure information. With regard to the point in time of transmission of the pre-arrival information, it should not normally be set substantially before the moment the ship has left the country of departure. However, national legislation could, in addition to the basic rule, also specify the exceptions if the time required for the voyage is shorter than the basic rule.

2.1.4 **Recommended Practice.** Public authorities should not require the lodgement of a separate General Declaration, Cargo Declaration, Crew List and Passenger List if the data elements contained in these documents are included in the pre-arrival information.

2.1.5 **Recommended Practice.** Public authorities should:

- (a) develop systems for the electronic transmission of data for the lodgement of pre-arrival and pre-departure information; and
- (b) consider the re-use or subsequent use of the pre-arrival and pre-departure information in subsequent procedures as part of all the information required for the release/clearance of passengers and cargo.

B. Contents and purpose of documents

2.2 **Standard.** The General Declaration shall be the basic document on arrival and departure providing data required by public authorities relating to the ship.

2.2.1 **Recommended Practice.** The same form of General Declaration should be accepted for both the arrival and the departure of the ship.

2.2.2 **Recommended Practice.** In the General Declaration, public authorities should not require more than the following data:

- name, type and IMO number of ship
- call sign
- flag state of ship
- particulars regarding registry
- particulars regarding tonnage
- name of master
- name and contact details of ship's agent
- brief description of the cargo
- number of crew
- number of passengers
- brief particulars of voyage
- date and time of arrival, or date of departure
- port of arrival or departure
- position of the ship in the port
- the ship's requirements in terms of waste and residue reception facilities
- last port of call/next port of call.

2.2.3 **Standard.** Public authorities shall accept that the General Declaration is either dated and signed by the master, the ship's agent or some other person duly authorized by the master, or authenticated in a manner acceptable to the public authority concerned.

2.3 **Standard.** The Cargo Declaration shall be the basic document on arrival and departure providing data required by public authorities relating to the cargo. However, particulars of any dangerous cargo may also be required to be furnished separately.

2.3.1 **Recommended Practice.** In the Cargo Declaration, public authorities should not require more than the following data:

- (a) on arrival
- name and IMO number of ship
 - flag State of ship

- name of master
- call sign
- port of loading
- port where report is made
- container identification, where appropriate; marks and numbers; number and kind of packages; quantity and description of the goods or, if available, the HS code*
- transport document numbers for cargo to be discharged at the port in question
- ports at which cargo remaining on board will be discharged
- original ports of shipment in respect of goods shipped under multimodal transport documents or through bills of lading.

(b) on departure;

- name and IMO number of ship
- flag State of ship
- name of master
- call sign
- port of discharge
- in respect of goods loaded at the port in question: container identification, where appropriate; marks and numbers; number and kind of packages; quantity and description of the goods
- transport document numbers for cargo loaded at the port in question.

Note: For the purposes of adequately describing the number and kind of packages on the cargo declaration, shipowners and other concerned parties should ensure that the external packaging unit of the goods will be used. If the goods are on pallets, the number and kind of packages on the pallet(s) should be stated. If the goods on the pallet are not packaged, the quantity and description of goods on the pallet should be used.

Note: To facilitate the processing of information required by public authorities, all parties involved should use an appropriate description of the goods and refrain from using generic terms, such as “general cargo”, “parts”, etc.

2.3.2 Standard. In respect of cargo remaining on board, public authorities shall require only brief details of the minimum essential items of information to be furnished.

* Convention on the Harmonized Commodity Description and Coding System: also known as the “Harmonized system” (HS). This international convention came into force on 1 January 1988; its objective is to establish a description and coding system for use by Customs administrations when designating commodities or commodity groups for the purposes of setting Customs tariffs and collecting statistics.

2.3.3 Standard. Public authorities shall accept that the Cargo Declaration is either dated and signed by the master, the ship's agent or some other person duly authorized by the master, or authenticated in a manner acceptable to the public authority concerned.

2.3.4 Standard. Public authorities shall accept in place of the Cargo Declaration a copy of the ship's manifest provided it contains at least the information required in accordance with Recommended Practice 2.3.1 and Standard 2.3.2 and is signed or authenticated, and dated, in accordance with Standard 2.3.3.

2.3.4.1 Recommended Practice. As an alternative to Standard 2.3.4, public authorities may accept a copy of the transport document signed or authenticated in accordance with Standard 2.3.3, or certified as a true copy, if the nature and quantity of cargo make this practicable and provided that any data required and identified in accordance with Recommended Practice 2.3.1 and Standard 2.3.2 which does not appear in such documents is also furnished elsewhere and duly certified.

2.3.5 Standard. Public authorities shall allow unmanifested parcels in possession of the master to be omitted from the Cargo Declaration provided that particulars of these parcels are furnished separately.

Note: Particulars of unmanifested parcels should be furnished on a separate form and should include relevant parts of the information normally shown in the Cargo Declaration. The IMO Cargo Declaration form could be used, with the title amended, e.g. to read: "Unmanifested Parcels List".

2.4 Standard. The Ship's Stores Declaration shall be the basic document on arrival and departure providing information required by public authorities relating to ship's stores.

2.4.1 Standard. Public authorities shall accept that the Ship's Stores Declaration is either dated and signed by the master or by some other ship's officer duly authorized by the master and having personal knowledge of the facts regarding the ship's stores, or authenticated in a manner acceptable to the public authority concerned.

2.5 Standard. The Crew's Effects Declaration shall be the basic document providing information required by public authorities relating to crew's effects. It shall not be required on departure.

2.5.1 Standard. Public authorities shall accept that the Crew's Effects Declaration is either dated and signed by the master or by some other ship's officer duly authorized by the master, or authenticated in a manner acceptable to the public authority concerned. The public authorities may also require each crew member to place his signature, or, if he is unable to do so, his mark, against the declaration relating to his effects.

2.5.2 Recommended Practice. Public authorities should normally require particulars of only those crew's effects which would not qualify for relief from Customs duties and taxes or which are subject to prohibitions or restrictions.

2.6 Standard. The Crew List shall be the basic document required by public authorities containing data relating to the number and composition of the crew on the arrival and departure of a ship.

2.6.1 **Standard.** In the Crew List, public authorities shall not require more than the following data:

- name and IMO number of ship
- flag State of ship
- call sign
- family name
- given names
- nationality
- rank or rating
- date and place of birth
- nature and number of identity document
- port and date of arrival
- last port of call.

2.6.2 **Standard.** Public authorities shall accept that the Crew List is either dated and signed by the master or by some other ship's officer duly authorized by the master, or authenticated in a manner acceptable to the public authority concerned.

2.6.3 **Standard.** Public authorities shall not normally require a Crew List to be submitted on each call in cases where a ship, serving in a scheduled programme, calls again at the same port at least once within 14 days and when there has been no change in the crew, in which case a statement of "No Change" shall be presented in a manner acceptable to the public authorities concerned.

2.6.4 **Recommended Practice.** Under the circumstances mentioned in Standard 2.6.3 but where minor changes in the crew have taken place, public authorities should not normally require a new, full Crew List to be submitted but should accept the existing Crew List with the changes indicated.

2.7 **Standard.** The Passenger List shall be the basic document required by public authorities containing the data relating to passengers on the arrival and departure of a ship.

2.7.1 **Recommended Practice.** Public authorities should not require Passenger Lists on short sea routes or combined ship/railway services between neighbouring countries.

2.7.2 **Recommended Practice.** Public authorities should not require embarkation or disembarkation cards in addition to Passenger Lists in respect of passengers whose names appear on those Lists. However, where public authorities have special problems constituting a grave danger to public health, a person on an international voyage may on arrival be required to give a destination address in writing.

2.7.3 Recommended Practice. In the Passenger List, public authorities should not require more than the following data:

- name and IMO number of ship
- call sign
- flag State of ship
- family name
- given names
- nationality
- date of birth
- place of birth
- type of identity document supplied by the passenger
- serial number of identity document
- port of embarkation
- port of disembarkation
- port and date of arrival of the ship
- transit passenger or not.

2.7.4 Recommended Practice. A list compiled by the shipowners for their own use should be accepted in place of the Passenger List, provided it contains at least the information required in accordance with Recommended Practice 2.7.3 and is dated and signed or authenticated in accordance with Standard 2.7.5.

2.7.5 Standard. Public authorities shall accept that the Passenger List is either dated and signed by the master, the ship's agent or some other person duly authorized by the master, or authenticated in a manner acceptable to the public authority concerned.

2.8 Standard. The Dangerous Goods Manifest shall be the basic document providing public authorities with the information regarding dangerous goods.

2.8.1 Standard. In the Dangerous Goods Manifest public authorities shall not require more than the following information:

- Name of ship
- Call sign
- IMO number
- Flag State of ship
- Master's name
- Voyage reference
- Port of loading
- Port of discharge

- Shipping agent
- Booking/reference number
- Marks and numbers
 - container ID No(s).
 - vehicle Reg. No(s).
- Number and kind of packages
- Proper shipping name
- Class
- UN Number
- Packing group
- Subsidiary risk(s)
- Flashpoint (in °C, c.c.)
- Marine Pollutant
- Mass (kg) – gross/net
- EmS
- Stowage position on board.

2.9 **Standard.** Public authorities shall not require on arrival or departure of the ship any written declaration in respect of postal items other than that prescribed in the Universal Postal Convention, provided the latter is actually produced. In the absence of such a document, the postal objects (number and weight) must be shown in the Cargo Declaration.

2.10 **Standard.** The Maritime Declaration of Health shall be the basic document containing the data required by port health authorities relating to the state of health on board a ship during the voyage and on arrival at a port.

C. Documents on arrival

2.11 **Standard.** In respect of a ship's arrival in port, public authorities shall not require more than:

- 5 copies of the General Declaration
- 4 copies of the Cargo Declaration
- 4 copies of the Ship's Stores Declaration
- 2 copies of the Crew's Effects Declaration
- 4 copies of the Crew List
- 4 copies of the Passenger List
- 1 copy of the Dangerous Goods Manifest
- 1 copy of the Maritime Declaration of Health.

D. Documents on departure

2.12 **Standard.** In respect of a ship's departure from port, public authorities shall not require more than:

- 5 copies of the General Declaration
- 4 copies of the Cargo Declaration
- 3 copies of the Ship's Stores Declaration
- 2 copies of the Crew List
- 2 copies of the Passenger List
- 1 copy of the Dangerous Goods Manifest.

2.12.1 **Standard.** A new Cargo Declaration shall not be required on departure from a port in respect of cargo which has been the subject of a declaration on arrival in that port and which has remained on board.

2.12.2 **Recommended Practice.** A separate Ship's Stores Declaration on departure should not be required in respect of ship's stores which have been the subject of a declaration on arrival, nor in respect of stores shipped in the port and covered by another customs document presented for the purpose in that port.

2.12.3 **Standard.** Where public authorities require information about the crew of a ship on its departure from the port, one of the copies of the Crew List presented on arrival at the port shall be accepted on departure, provided it is signed again by the master or an officer duly authorized by him, and endorsed to indicate any change in the number or composition of the crew at the time of the ship's departure or to indicate that no such change has occurred during the ship's stay in the port.

2.13*

E. Consecutive calls at two or more ports in the same State

2.14 **Recommended Practice.** Taking into account the procedures carried out on the arrival of a ship at the first port of call in the territory of a State, the formalities and documents required by the public authorities at any subsequent port of call in that country visited without intermediate call at a port in another country should be kept to a minimum.

F. Completion of documents

2.15 **Recommended Practice.** Public authorities should as far as possible accept the documents provided for in this annex, except as regards Standard 3.7, irrespective of the language in which the required data is furnished thereon, provided that they may require a written or oral translation into one of the official languages of their country or of the Organization when they deem it necessary.

* Numbers in the 2.13 series are reserved for future use.

2.16 **Standard.** Public authorities shall accept documents conveyed by any legible and understandable medium, including documents handwritten in ink or indelible pencil or produced by the use of information technology.

2.16.1 **Standard.** Public authorities shall accept a signature, when required, in handwriting, in facsimile, perforated, stamped, in symbols, or made by any other mechanical or electronic means, if such acceptance is not inconsistent with national laws. The authentication of information submitted on non-paper media shall be in a manner acceptable to the public authority concerned.

2.17 **Standard.** Public authorities of the country of any intended port of arrival, discharge, or transit shall not require any document relating to the ship, its cargo, stores, passengers or crew, as mentioned in this section, to be legalized, verified, authenticated, or previously dealt with by any of their representatives abroad. This shall not be deemed to preclude a requirement for the presentation of a passport or other identity document of a passenger or crew member for visa or similar purposes.

G. Errors in documentation and penalties therefore

2.18 **Standard.** Public authorities shall, without delaying the ship, allow correction of errors in a document provided for in this annex which they are satisfied are inadvertent, not of a serious nature, not due to recurrent carelessness and not made with intent to violate laws or regulations, on the condition that these errors are discovered before the document is fully checked and the corrections can be effected without delay.

2.19 **Standard.** If errors are found in documents provided for in this annex which have been signed by or on behalf of a shipowner or master, or otherwise authenticated, no penalties shall be imposed until an opportunity has been given to satisfy the public authorities that the errors were inadvertent, not of a serious nature, not due to recurrent carelessness and not made with intent to violate the laws or regulations of the port State.

H. Special measures of facilitation for ships calling at ports in order to put ashore sick or injured crew members, passengers, persons rescued at sea or other persons for emergency medical treatment

2.20 **Standard.** Public authorities shall seek the co-operation of shipowners to ensure that, when ships intend to call at ports for the sole purpose of putting ashore sick or injured crew members, passengers, persons rescued at sea, or other persons for emergency medical treatment, the master shall give the public authorities as much notice as possible of that intention, with the fullest possible details of the sickness or injury and of the identity of the persons.

2.21 **Standard.** Public authorities shall, by radio whenever possible, but in any case by the fastest channels available, inform the master, before the arrival of the ship, of the documentation and the procedures necessary to put the sick or injured persons ashore expeditiously and to clear the ship without delay.

2.22 **Standard.** With regard to ships calling at ports for this purpose and intending to leave again immediately, public authorities shall give priority in berthing if the state of the sick person or the sea conditions do not allow a safe disembarkation in the roads or harbour approaches.

2.23 **Standard.** With regard to ships calling at ports for this purpose and intending to leave again immediately, public authorities shall not normally require the documents mentioned in

Standard 2.1 with the exception of the Maritime Declaration of Health and, if it is indispensable, the General Declaration.

2.24 **Standard.** Where public authorities require the General Declaration, this document shall not contain more data than those mentioned in Recommended Practice 2.2.2 and, wherever possible, shall contain less.

2.25 **Standard.** Where the public authorities apply control measures related to the arrival of a ship prior to sick or injured persons being put ashore, emergency medical treatment and measures for the protection of public health shall take precedence over these control measures.

2.26 **Standard.** Where guarantees or undertakings are required in respect of costs of treatment or eventual removal or repatriation of the persons concerned, emergency medical treatment shall not be withheld or delayed while these guarantees or undertakings are being obtained.

2.27 **Standard.** Emergency medical treatment and measures for the protection of public health shall take precedence over any control measures which public authorities may apply to sick or injured persons being put ashore.

Section 3 - Arrival and departure of persons

This section contains the provisions concerning the formalities required by public authorities from crew and passengers on the arrival or departure of a ship.

A. Arrival and departure requirements and procedures

3.1 **Standard.** A valid passport shall be the basic document providing public authorities with information relating to the individual passenger on arrival or departure of a ship.

3.1.1 **Recommended Practice.** Contracting Governments should as far as possible agree, by bilateral or multilateral agreements, to accept official documents of identity in lieu of passports.

3.2 **Standard.** Public authorities shall make arrangements whereby passports, or official documents of identity accepted in their place, from ship's passengers need be inspected by the immigration authorities only once at the time of arrival and once at the time of departure. In addition, these passports or official documents of identity may be required to be produced for the purpose of verification or identification in connection with customs and other formalities on arrival and departure.

3.3 **Standard.** After individual presentation of passports or official documents of identity accepted in their place, public authorities shall hand back such documents immediately after examination rather than withholding them for the purpose of obtaining additional control, unless there is some obstacle to the admission of a passenger to the territory.

3.3.1 **Standard.** Each Contracting Government shall ensure that the public authorities seize fraudulent, falsified or counterfeit travel documents of inadmissible persons. Such documents shall be removed from circulation and returned to the appropriate authorities when practicable. In place of a seized document, a covering letter* shall be issued by the removing State and attached to it will be a photocopy of the forged travel documents, if available, as well as any important information. The covering letter and its attachment shall be handed over to the

* A possible format for a covering letter is given in appendix 2.

operator responsible for the removal of the inadmissible person. It will serve to give information to the authorities at the transit and/or the original point of embarkation.

Note: The above Standard shall not be construed as overriding the right of the public authorities of the Contracting Governments to determine whether or not, depending on the individual case, possession of fraudulent documents in itself constitutes grounds for refusal of admission and prompt removal from the territory of the State concerned. Nothing in this Standard is to be construed as contradicting the provisions of the United Nations Convention Relating to the Status of Refugees of 28 July 1951 and the United Nations Protocol relating to the Status of Refugees of 31 January 1967, which concern the prohibitions of the expulsion or return of a refugee.

3.3.2 Standard. Contracting Governments shall accept for examination a person being returned from his point of disembarkation after having been found inadmissible if this person had embarked in their territory. Contracting Governments shall not return such a person to the country where he was earlier found to be inadmissible.

Note 1: This provision is not intended to prevent public authorities from further examining a returned inadmissible person to determine his eventual acceptability in the State or make arrangements for his transfer, removal or deportation to a State of which he is a national or where he is otherwise acceptable. Where a person who has been found to be inadmissible has lost or destroyed his travel document, a Contracting Government will accept instead a document attesting to the circumstances of embarkation and arrival issued by the public authorities of the Contracting Government where the person was found to be inadmissible.

Note 2: Nothing in this Standard or in Note 1 is to be construed as contradicting the provisions of the United Nations Convention Relating to the Status of Refugees of 28 July 1951 and the United Nations Protocol Relating to the Status of Refugees of 31 January 1967, which concern the prohibition of the expulsion or return of a refugee.

3.3.3 Standard. Before passengers and crew are accepted for examination as to their admissibility into the State, responsibility for their custody and care shall remain with the shipowner.

3.3.4 Recommended Practice. After acceptance of passengers and crew for examination, whether conditional or unconditional and if the persons concerned are under the physical control of the public authorities, the public authorities should be responsible for their custody and care until they are admitted for entry or are found to be inadmissible.

3.3.5 Standard. The obligation of a shipowner to transport any person away from the territory of a State shall terminate from the moment such a person has been definitely admitted into that State.

3.3.6 Standard. Where a person is found to be inadmissible, the public authorities shall, without unreasonable delay, inform the shipowner and consult the shipowner regarding the arrangements for removal. The shipowner is responsible for the costs of removal of an inadmissible person and, in the case where the person is transferred back to the custody of the shipowner, the shipowner shall be responsible for effecting his/her prompt removal to:

- the country of embarkation; or
- to any other place where the person is admissible.

3.3.7 Standard. Contracting Governments and shipowners shall co-operate, where practicable, to establish the validity and authenticity of passports and visas.

3.4 Recommended Practice. Public authorities should not require from embarking or disembarking passengers, or from shipowners on their behalf, any information in writing supplementary to or repeating that already presented in their passports or official documents of identity, other than as necessary to complete any documents provided for in this annex.

3.5 Recommended Practice. Public authorities which require written supplementary information, other than as necessary to complete any documents provided for in this annex, from embarking or disembarking passengers should limit requirements for further identification of passengers to the items set forth in Recommended Practice 3.6 (embarkation/disembarkation card). Public authorities should accept the embarkation/disembarkation card when completed by the passenger and should not require that it be completed or checked by the shipowner. Legible handwritten script should be accepted on the card, except where the form specifies block lettering. One copy only of the embarkation/disembarkation card, which may include one or more simultaneously prepared carbon copies, should be required from each passenger.

3.6 Recommended Practice. In the embarkation/disembarkation card, public authorities should not require more than the following information:

- family name
- given names
- nationality
- number of passport or other official identity document
- date of birth
- place of birth
- occupation
- port of embarkation/disembarkation
- sex
- destination address
- signature.

3.7 Standard. In cases where evidence of protection against yellow fever is required from persons on board a ship, public authorities shall accept the International Certificate of Vaccination or Re-Vaccination in the forms provided for in the International Health Regulations.

3.8 Recommended Practice. Medical examination of persons on board or of persons disembarking from ships should normally be limited to those persons arriving from an area infected with quarantinable diseases within the incubation period of the disease concerned (as stated in the International Health Regulations). Additional medical examination may, however, be required in accordance with the International Health Regulations.

3.9 Recommended Practice. Public authorities should normally perform customs inspections of inbound passengers' accompanied baggage on a sampling or selective basis. Written declarations in respect of passengers' accompanied baggage should be dispensed with as far as possible.

3.9.1 Recommended Practice. Public authorities should, wherever possible, waive inspections of accompanied baggage of departing passengers, with due regard to the possible need to impose appropriate security measures.

3.9.2 Recommended Practice. Where inspection of accompanied baggage of departing passengers cannot be waived completely, such inspection should normally be performed on a sampling or selective basis.

3.10 Standard. A valid seafarer's identity document or a passport shall be the basic document providing public authorities with information relating to the individual member of the crew on arrival or departure of a ship.

3.10.1 Standard. In the seafarer's identity document, public authorities shall not require more than the following information:

- family name
- given names
- date and place of birth
- nationality
- physical characteristics
- photograph (authenticated)
- signature
- date of expiry (if any)
- issuing public authority.

3.10.2 Standard. When it is necessary for a seafarer to enter or leave a country as a passenger by any means of transportation for the purpose of:

- (a) joining his ship or transferring to another ship,
- (b) passing in transit to join his ship in another country, or for repatriation, or for any other purpose approved by the authorities of the country concerned,

public authorities shall accept from that seafarer in place of a passport the valid seafarer's identity document, when this document guarantees the readmission of the bearer to the country which issued the document.

3.10.3 Recommended Practice. Public authorities should not normally require presentation of individual identity documents or of information supplementing the seafarer's identity document in respect of members of the crew other than that given in the Crew List.

B. Measures to facilitate clearance of cargo, passengers, crew and baggage

3.11 Recommended Practice. Public authorities should, with the co-operation of shipowners and port authorities, take appropriate measures to the end that satisfactory port traffic flow arrangements may be provided so that passengers, crew and baggage can be cleared rapidly, should provide adequate personnel, and should ensure that adequate installations are provided, particular attention being paid to baggage loading, unloading and conveyance arrangements (including the use of mechanized systems) and to points where passenger delays are frequently found to occur. Arrangements should be made, when necessary, for passage under shelter between the ship and the point where the passenger and crew check is to be made. Such arrangements and installations should be flexible and capable of expansion to meet increased security measures during higher threat situations.

3.11.1 Recommended Practice. Public authorities should:

- (a) in co-operation with shipowners and port authorities, introduce suitable arrangements, such as:
 - (i) an individual and continuous method of processing passengers and baggage;
 - (ii) a system which would permit passengers readily to identify and obtain their checked baggage as soon as it is placed in an area where it may be claimed;
 - (iii) ensuring that facilities and services are available to meet the needs of elderly and disabled passengers;
- (b) ensure that port authorities take all necessary measures so that:
 - (i) easy and speedy access for passengers and their baggage, to and from local transport, is provided;
 - (ii) if crews are required to report to premises for governmental purposes, those premises should be readily accessible, and as close to one another as practicable.

3.11.2 Recommended Practice. Public authorities should consider, as a means of ensuring prompt clearance, the introduction of the dual-channel system* for the clearance of passengers, and their baggage and private road vehicles.

3.12 Standard. Public authorities shall require that shipowners ensure that ship's personnel take all appropriate measures which will help expedite arrival procedures for passengers and crew. These measures may include:

* Reference is made to Recommended Practice 11 and appendix II of Annex F3 of the Kyoto Convention.

- (a) furnishing public authorities concerned with an advance message giving the best estimated time of arrival, followed by information as to any change in time, and stating the itinerary of the voyage where this may affect inspection requirements;
- (b) having ship's documents ready for prompt review;
- (c) providing for ladders or other means of boarding to be rigged while the ship is en route to berth or anchorage; and
- (d) providing for prompt, orderly assembling and presentation of persons on board, with necessary documents, for inspection, with attention to arrangements for relieving crew members for this purpose from essential duties in engine-rooms and elsewhere.

3.13 **Recommended Practice.** The practice of entering names on passenger and crew documents should be to put the family name or names first. Where both paternal and maternal family names are used, the paternal family name should be placed first. Where for married women both the husband's and wife's paternal family names are used, the husband's paternal family name should be placed first.

3.14 **Standard.** Public authorities shall, without unreasonable delay, accept persons on board a ship for examination as to their admissibility into the State.

3.15 **Standard.** Public authorities shall not impose any penalty upon shipowners in the event that any control document in possession of a passenger is found by public authorities to be inadequate, or if, for that reason, the passenger is found to be inadmissible to the State.

3.15.1 **Standard.** Public authorities shall encourage shipowners to take precautions at the point of embarkation with a view to ensuring that passengers are in possession of any control documents prescribed by the receiving or transit States.

3.15.2 **Standard.** When a person is found to be inadmissible and is removed from the territory of the State, the shipowner shall not be precluded from recovering, from such a person, any costs arising from his inadmissibility.

3.15.3 **Recommended Practice.** For use at marine terminals and on board ships in order to facilitate and expedite international maritime traffic, public authorities should implement or, where the matter does not come within their jurisdiction, recommend responsible parties in their country to implement standardized international signs and symbols developed or accepted by the Organization in co-operation with other appropriate international organizations and which, to the greatest extent practicable, are common to all modes of transport.

C. Special facilities for marine transport of elderly and disabled passengers

3.16 **Recommended Practice.** Measures should be taken to ensure that all necessary information on transport and safety is readily available for passengers who have impaired hearing or vision.

3.17 **Recommended Practice.** For elderly and disabled passengers being set down or picked up at a terminal building, reserved points should be located as close as possible to main

entrances. These should be clearly marked with appropriate signs. Access routes should be free of obstacles.

3.18 **Recommended Practice.** Where access to public services is limited, every effort should be made to provide accessible and reasonably priced public transportation services by adapting current and planned services or by providing special arrangements for passengers who have impaired mobility.

3.19 **Recommended Practice.** Provisions of suitable facilities should be made in terminals and on ships, as appropriate, to allow safe embarkation and disembarkation for elderly and disabled passengers.

D. Facilitation for ships engaged on cruises and for cruise passengers

3.20 **Standard.** Public authorities shall authorize granting of pratique by radio to a cruise ship when, on the basis of information received from it prior to its arrival, the health authority for the intended port of arrival is of the opinion that its arrival will not result in the introduction or spread of a quarantinable disease.

3.21 **Standard.** For cruise ships, the General Declaration, the Passenger List and the Crew List shall be required only at the first port of arrival and final port of departure in a country, provided that there has been no change in the circumstances of the voyage.

3.22 **Standard.** For cruise ships, the Ship's Stores Declaration and the Crew's Effects Declaration shall be required only at the first port of arrival in a country.

3.23 **Standard.** Passports or other official documents of identity shall at all times remain in the possession of cruise passengers.

3.24 **Recommended Practice.** If a cruise ship stays at a port for less than 72 hours, it should not be necessary for cruise passengers to have visas, except in special circumstances determined by the public authorities concerned.

Note: It is the intention of this Recommended Practice that each Contracting State may issue to such passengers, or accept from them upon arrival, some form indicating that they have permission to enter the territory.

3.25 **Standard.** Cruise passengers shall not be unduly delayed by the control measures exercised by public authorities.

3.26 **Standard.** In general, except for security purposes and for the purposes of establishing identity and admissibility, cruise passengers shall not be subject to personal examination by public authorities responsible for immigration control.

3.27 **Standard.** If a cruise ship calls consecutively at more than one port in the same country, passengers shall, in general, be examined by public authorities at the first port of arrival and at the final port of departure only.

3.28 **Recommended Practice.** To facilitate their prompt disembarkation, the inward control of passengers on a cruise ship, where practicable, should be carried out on board before arrival at the place of disembarkation.

3.29 **Recommended Practice.** Cruise passengers who disembark at one port and rejoin the same ship at another port in the same country should enjoy the same facilities as passengers who disembark and rejoin a cruise ship at the same port.

3.30 **Recommended Practice.** The Maritime Declaration of Health should be the only health control necessary for cruise passengers.

3.31 **Standard.** Duty-free ship's stores shall be allowed aboard ship for cruise passengers during the ship's stay in port.

3.32 **Standard.** Cruise passengers shall not normally be required to provide a written declaration for their personal effects. However, in the case of articles which involve a high amount of customs duties and other taxes and charges, a written declaration and a security may be required.

3.33 **Recommended Practice.** Cruise passengers should not be subject to any currency control.

3.34 **Standard.** Embarkation/disembarkation cards shall not be necessary for cruise passengers.

3.35 **Recommended Practice.** Except where passenger control is based solely on the Passenger List, the public authorities should not insist on the completion of the following details on the Passenger List:

- nationality (column 6)
- date and place of birth (column 7)
- port of embarkation (column 8)
- port of disembarkation (column 9).

E. Special measures of facilitation for passengers in transit

3.36 **Standard.** A passenger in transit who remains on board the ship on which he arrived and departs with it shall not normally be subjected to routine control by public authorities except for security purposes.

3.37 **Recommended Practice.** A passenger in transit should be allowed to retain his passport or other identity document.

3.38 **Recommended Practice.** A passenger in transit should not be required to complete a disembarkation/embarkation card.

3.39 **Recommended Practice.** A passenger in transit who is continuing his journey from the same port in the same ship should normally be granted temporary permission to go ashore during the ship's stay in port if he so wishes.

3.40 **Recommended Practice.** A passenger in transit who is continuing his journey from the same port in the same ship should not be required to have a visa, except in special circumstances determined by the public authorities concerned.

3.41 **Recommended Practice.** A passenger in transit who is continuing his journey from the same port in the same ship should not normally be required to give a written Customs Declaration.

3.42 **Recommended Practice.** A passenger in transit who leaves the ship at one port and embarks in the same ship at a different port in the same country should enjoy the same facilities as a passenger who arrives and departs in the same ship at the same port.

F. Measures of facilitation for ships engaged in scientific services

3.43 **Recommended Practice.** A ship engaged in scientific services carries personnel who are necessarily engaged on the ship for such scientific purposes of the voyage. If so identified, such personnel should be granted facilities at least as favourable as those granted to the crew members of that ship.

G. Further measures of facilitation for foreigners belonging to the crews of ships engaged in international voyages -- shore leave

3.44 **Standard.** Foreign crew members shall be allowed ashore by the public authorities while the ship on which they arrive is in port, provided that the formalities on arrival of the ship have been fulfilled and the public authorities have no reason to refuse permission to come ashore for reasons of public health, public safety or public order.

3.45 **Standard.** Crew members shall not be required to hold a visa for the purpose of shore leave.

3.46 **Recommended Practice.** Crew members, before going on or returning from shore leave, should not normally be subjected to personal checks.

3.47 **Standard.** Crew members shall not be required to have a special permit, e.g. a shore leave pass, for the purpose of shore leave.

3.48 **Recommended Practice.** If crew members are required to carry documents of identity with them when they are on shore leave, these documents should be limited to those mentioned in Standard 3.10.

3.49 **Recommended Practice.** Public authorities should provide a system of pre-arrival clearance to allow the crew of ships which call regularly at their ports to obtain advance approval for temporary shore leave. Where a ship has no adverse immigration record and is locally represented by a shipowner or a reputable agent of the shipowner, the public authorities should normally, after satisfactory consideration of such pre-arrival particulars as they may require, permit the ship to proceed directly to its berth and be subject to no further routine immigration formalities, unless otherwise required by the public authorities.

Section 4 - Stowaways

A. *General Principles*

4.1 **Standard.** The provisions in this section shall be applied in accordance with international protection principles as set out in international instruments, such as the UN Convention relating to the Status of Refugees of 28 July 1951 and the UN Protocol relating to the Status of Refugees of 31 January 1967, and relevant national legislation.*

4.2 **Standard.** Public authorities, port authorities, shipowners and their representatives and shipmasters shall co-operate to the fullest extent possible in order to prevent stowaway incidents and to resolve stowaway cases expeditiously and secure that an early return or repatriation of the stowaway will take place. All appropriate measures shall be taken in order to avoid situations where stowaways must stay on board ships indefinitely.

B. *Preventive measures*

4.3 Ship/Port preventive measures

4.3.1 Port/terminal authorities

4.3.1.1 **Standard.** Contracting Governments shall ensure that the necessary infrastructure, and operational and security arrangements for the purpose of preventing persons attempting to stowaway on board ships from gaining access to port installations and to ships, are established in all their ports, taking into consideration when developing these arrangements the size of the port, and what type of cargo is shipped from the port. This should be done in close co-operation with relevant public authorities, shipowners and shore-side entities, with the aim of preventing stowaway occurrences in the individual port.

4.3.1.2 **Recommended Practice.** Operational arrangements and/or security plans should, *inter alia*, address the following issues where appropriate:

- (a) regular patrolling of port areas;
- (b) establishment of special storage facilities for cargo subject to high risk of access of stowaways, and continuous monitoring of both persons and cargo entering these areas;
- (c) inspections of warehouses and cargo storage areas;
- (d) search of cargo itself, when presence of stowaways is clearly indicated;
- (e) co-operation between public authorities, shipowners, masters and relevant shoreside entities in developing operational arrangements;
- (f) co-operation between port authorities and other relevant authorities (e.g. police, customs, immigration) in order to prevent smuggling of humans;

* In addition, public authorities may wish to consider the non-binding conclusion of the UNHCR Executive Committee on Stowaway Asylum-Seekers (1988, No. 53 (XXXIX)).

- (g) developing and implementing agreements with stevedores and other shoreside entities operating in national ports to ensure that only personnel authorized by these entities participate in the stowing/unstowing or loading/unloading of ships or other functions related to the ships stay in port;
- (h) developing and implementing agreements with stevedores and other shoreside entities to ensure that their personnel having access to the ship is easily identifiable, and a list of names of persons likely to need to board the ship in the course of their duties is provided; and
- (i) encouragement of stevedores and other persons working in the port area to report to the port authorities, the presence of any persons apparently not authorized to be in the port area.

4.3.2 Shipowner/Shipmaster

4.3.2.1 Standard. Contracting Governments shall require that shipowners and their representatives in the port, the masters as well as other responsible persons have security arrangements in place which, as far as practicable, will prevent intending stowaways from getting aboard the ship, and, if this fails, as far as practicable, will detect them before the ship leaves port.

4.3.2.2 Recommended Practice. When calling at ports and during stay in ports, where there is risk of stowaway embarkation, security arrangements should at least contain the following preventive measures:

- all doors, hatches and means of access to holds or stores, which are not used during the ships stay in port should be locked;
- access points to the ship should be kept to a minimum and be adequately secured;
- areas seaward of the ship should be adequately secured;
- adequate deck watch should be kept;
- boardings and disembarkations should, where possible, be tallied by the ships crew or, after agreement with the shipmaster, by others;
- adequate means of communication should be maintained; and
- at night, adequate lighting should be maintained both inside and along the hull.

4.3.2.3 Standard. Contracting Governments shall require that ships entitled to fly their flag, except passenger ships, when departing from a port, where there is risk of stowaway embarkation, have undergone a thorough search in accordance with a specific plan or schedule, and with priorities given to places where stowaways might hide. Search methods, which are likely to harm secreted stowaways shall not be used.

4.3.2.4 **Standard.** Contracting Governments shall require that fumigation or sealing of ships entitled to fly their flag may not be carried out until a search which is as thorough as possible of the areas to be fumigated or sealed has taken place in order to ensure that no stowaways are present in those areas.

4.3.3 **National Sanctions**

4.3.3.1 **Standard.** Where appropriate, contracting Governments shall, according to their national legislation, prosecute stowaways, attempted stowaways and persons aiding stowaways in gaining access to ships.

C. Treatment of the stowaway while on board

4.4 **General principles – Humane treatment**

4.4.1 **Standard.** Stowaway incidents shall be dealt with consistent with humanitarian principles, including those mentioned in Standard 4.1. Due consideration must always be given to the operational safety of the ship and the safety and well being of the stowaway.

4.4.2 **Standard.** Contracting Governments shall require that shipmasters operating ships entitled to fly their flag, take appropriate measures to ensure the security, general health, welfare and safety of the stowaway while he/she is on board, including providing him/her with adequate provisioning, accommodation, proper medical attention and sanitary facilities.

4.5 **Work on board**

4.5.1 **Standard.** Stowaways shall not be required to work on board the ship, except in emergency situations or in relation to the stowaway's accommodation on board.

4.6 **Questioning and notification by the shipmaster**

4.6.1 **Standard.** Contracting Governments shall require shipmasters to make every effort to establish the identity, including nationality/citizenship of the stowaway and the port of embarkation of the stowaway, and to notify the existence of the stowaway along with relevant details to the public authorities of the first planned port of call. This information shall also be provided to the shipowner, public authorities at the port of embarkation, the flag State and any subsequent ports of call if relevant.

4.6.2 **Recommended Practice.** When gathering relevant details for notification the shipmaster should use the form as specified in appendix 3.

4.6.3 **Standard.** Contracting Governments shall instruct shipmasters operating ships entitled to fly their flag that when a stowaway declares himself/herself to be a refugee, this information shall be treated as confidential to the extent necessary for the security of the stowaway.

4.7 **Notification of the International Maritime Organization**

4.7.1 **Recommended Practice.** Public authorities should report all stowaway incidents to the Secretary General of the International Maritime Organization.

D. Deviation from the planned route

4.8 **Standard.** Public authorities shall urge all shipowners operating ships entitled to fly their flag to instruct their masters not to deviate from the planned voyage to seek the disembarkation of stowaways discovered on board the ship after it has left the territorial waters of the country where the stowaways embarked, unless:

- permission to disembark the stowaway has been granted by the public authorities of the State to whose port the ship deviates; or
- repatriation has been arranged elsewhere with sufficient documentation and permission for disembarkation; or
- there are extenuating security, health or compassionate reasons.

E. Disembarkation and return of a stowaway

4.9 The State of the first port of call according to the voyage plan

4.9.1 **Standard.** Public authorities in the country of the ship's first scheduled port of call after discovery of a stowaway shall decide in accordance with national legislation whether the stowaway is admissible to that State.

4.9.2 **Standard.** Public authorities in the country of the ship's first scheduled port of call after discovery of a stowaway shall allow disembarkation of the stowaway, when the stowaway is in possession of valid travel documents for return, and the public authorities are satisfied that timely arrangements have been or will be made for repatriation and all the requisites for transit fulfilled.

4.9.3 **Standard.** Where appropriate and in accordance with national legislation, public authorities in the country of the ship's first scheduled port of call after discovery of a stowaway shall allow disembarkation of the stowaway when the public authorities are satisfied that they or the shipowner will obtain valid travel documents, make timely arrangements for repatriation of the stowaway, and fulfil all the requisites for transit. Public authorities shall, further, favourably consider allowing disembarkation of the stowaway, when it is impracticable to remove the stowaway on the ship of arrival or other factors exist which would preclude removal on the ship. Such factors may include, but are not limited to when:

- a case is unresolved at the time of sailing of the ship; or
- the presence on board of the stowaway would endanger the safe operation of the ship, the health of the crew or the stowaway.

4.10 Subsequent ports of call

4.10.1 **Standard.** When disembarkation of a stowaway has failed in the first scheduled port of call after discovery of the stowaway, public authorities of the subsequent ports of call shall examine the stowaway as for disembarkation in accordance with Standards 4.9.1, 4.9.2 and 4.9.3.

4.11 State of Nationality or Right of Residence

4.11.1 **Standard.** Public authorities shall in accordance with international law accept the return of stowaways with full nationality/citizenship status or accept the return of stowaways who in accordance with their national legislation have a right of residence in their State.

4.11.2 **Standard.** Public authorities shall, when possible, assist in determining the identity and nationality/citizenship of stowaways claiming to be a national or having a right of residence in their State.

4.12 State of Embarkation

4.12.1 **Standard.** When it has been established to their satisfaction that stowaways have embarked a ship in a port in their State, public authorities shall accept for examination such stowaways being returned from their point of disembarkation after having been found inadmissible there. The public authorities of the State of embarkation shall not return such stowaways to the country where they were earlier found to be inadmissible.

4.12.2 **Standard.** When it has been established to their satisfaction that attempted stowaways have embarked a ship in a port in their State, public authorities shall accept disembarkation of attempted stowaways, and of stowaways found on board the ship while it is still in the territorial waters or if applicable according to the national legislation of that State in the area of immigration jurisdiction of that State. No penalty or charge in respect of detention or removal costs shall be imposed on the shipowner.

4.12.3 **Standard.** When an attempted stowaway has not been disembarked at the port of embarkation he/she is to be treated as a stowaway in accordance with the regulation of this section.

4.13 The flag State

4.13.1 **Standard.** The public authorities of the flag State of the ship shall assist and co-operate with the master/shipowner or the appropriate public authority at ports of call in:

- identifying the stowaway and determining his/her nationality;
- making representations to the relevant public authority to assist in the removal of the stowaway from the ship at the first available opportunity; and
- making arrangements for the removal or repatriation of the stowaway.

4.14 Return of stowaways

4.14.1 Recommended Practice. When a stowaway has inadequate documents, public authorities should, whenever practicable and to an extent compatible with national legislation and security requirements, issue a covering letter with a photograph of the stowaway and any other important information. The letter, authorising the return of the stowaway either to his/her country of origin or to the point where the stowaway commenced his/her journey, as appropriate, by any means of transportation and specifying any other conditions imposed by the authorities, should be handed over to the operator affecting the removal of the stowaway. This letter will include information required by the authorities at transit points and/or the point of disembarkation.

4.14.2 Recommended Practice. Public authorities in the State where the stowaway has disembarked should contact the relevant public authorities at transit points during the return of a stowaway, in order to inform them of the status of the stowaway. In addition public authorities in countries of transit during the return of any stowaway should allow, subject to normal visa requirements and national security concerns, the transit through their ports and airports of stowaways travelling under the removal instructions or directions of public authorities of the country of the port of disembarkation.

4.14.3 Recommended Practice. When a port State has refused disembarkation of a stowaway that State should, without undue delay, notify the Flag State of the ship carrying the stowaway of the reasons for refusing disembarkation.

4.15 Cost of return and maintenance of stowaways

4.15.1 Recommended practice. The public authorities of the State where a stowaway has been disembarked should generally inform the shipowner, on whose ship the stowaway was found, or his representative, as far as practicable, of the level of cost of detention and return of the stowaway, if the shipowner is to cover these costs. In addition, public authorities should keep such costs to a minimum, as far as practicable and according to national legislation, if they are to be covered by the shipowner.

4.15.2 Recommended Practice. The period during which shipowners are held liable to defray costs of maintenance of a stowaway by public authorities in the State where the stowaway has been disembarked should be kept to a minimum.

4.15.3 Standard. Public authorities shall, according to national legislation, consider mitigation of penalties against ships where the master of the ship has properly declared the existence of a stowaway to the appropriate authorities in the port of arrival, and has shown that all reasonable preventive measures had been taken to prevent stowaways gaining access to the ship.

4.15.4 Recommended practice. Public authorities should, according to national legislation, consider mitigation of other charges that might otherwise be applicable, when shipowners have co-operated with the control authorities to the satisfaction of those authorities in measures designed to prevent the transportation of stowaways.

Section 5 - Arrival, stay and departure of cargo and other articles

This section contains the provisions concerning the formalities required by public authorities from the shipowner, his agent or the master of the ship.

A. General

5.1 **Recommended Practice.** Public authorities should, with the co-operation of shipowners and port authorities, take appropriate measures to the end that port time may be kept to a minimum, should provide satisfactory port traffic flow arrangements, and should frequently review all procedures in connection with the arrival and departure of ships, including arrangements for embarkation and disembarkation, loading and unloading, servicing and the like and the security measures associated therewith. They should also make arrangements whereby cargo ships and their loads can be entered and cleared, in so far as may be practicable, at the ship working area.

5.2 **Recommended Practice.** Public authorities should, with the co-operation of shipowners and port authorities, take appropriate measures to the end that satisfactory port traffic flow arrangements are provided so that handling and clearance procedures for cargo will be smooth and uncomplicated. These arrangements should cover all phases from the time the ship arrives at the dock for unloading and public authority clearance and for warehousing and re-forwarding of cargo if required. There should be convenient and direct access between the cargo warehouse and the public authority clearance area, which should be located close to the dock area, and mechanical conveyance should be available, where possible.

5.3 **Recommended Practice.** Public authorities should encourage owners and/or operators of marine cargo terminals to equip them with storage facilities for special cargo (e.g. valuable goods, perishable shipments, human remains, radioactive and other dangerous goods, as well as live animals), as appropriate; those areas of marine cargo terminals in which general and special cargo and postal items are stored prior to shipment by sea or importation should be protected against access by unauthorized persons at all times.

5.4 **Standard.** A Contracting Government which continues to require export, import and transshipment licences or permits for certain types of goods shall establish simple procedures whereby such licences or permits can be obtained and renewed rapidly.

5.5 **Recommended Practice.** When the nature of a consignment could attract the attention of different agencies authorized to carry out inspections, such as Customs and veterinary or sanitary controllers, Contracting Governments should authorize either Customs or one of the other agencies to carry out the required procedures or, where that is not feasible, take all necessary steps to ensure that such clearance is carried out simultaneously at one place and with a minimum of delay.

5.6 **Recommended Practice.** Public authorities should provide simplified procedures for the prompt clearance of private gift packages and trade samples not exceeding a certain value or quantity which should be set at as high a level as possible.

B. Clearance of cargo

5.7 **Standard.** Public authorities shall, subject to compliance with any national prohibitions or restrictions and any measures required for port security or the prevention of trafficking of narcotics, grant priority clearance to live animals, perishable goods and other consignments of an urgent nature.

5.7.1 **Recommended Practice.** In order to protect the quality of goods awaiting clearance, public authorities should, in collaboration with all the concerned parties, take all measures to permit practical, safe and reliable storage of goods at the port.

5.8 **Recommended Practice.** Contracting Governments should facilitate the temporary admission of specialized cargo-handling equipment arriving by ships and used on shore at ports of call for loading, unloading and handling cargo.

5.9 Reserved.

5.10 **Recommended Practice.** Public authorities should provide procedures for the clearance of cargo based on the relevant provisions of and associated guidelines to the International Convention on the simplification and harmonization of Customs procedures - the revised Kyoto Convention.

5.10.1 **Recommended Practice.** Public authorities should consider the introduction of simplified procedures for authorized persons allowing:

- (a) release of the goods on the provision of the minimum information necessary to identify the goods, to accurately identify and assess risk as it relates to concerns such as health, safety and security, and permit the subsequent completion of the final goods declaration;
- (b) clearance of the goods at the declarants premises or another place authorized by the relevant public authority; and
- (c) submission of a single goods declaration for all imports or exports in a given period where goods are imported or exported frequently by the same person.

5.11 **Standard.** Public authorities shall limit physical interventions to the minimum necessary to ensure compliance with the law.

5.12 **Recommended Practice.** In so far as resources allow, public authorities should, on the basis of a valid request, conduct physical examinations of cargo, where necessary, at the point where it is loaded into its means of transport and while loading is in progress, either at the dockside or, in the case of unitized cargo, at the place where the container is loaded and sealed.

5.13 **Standard.** Public authorities shall ensure that requirements for collection of statistics do not significantly reduce the efficiency of maritime trade.

5.14 **Recommended Practice.** Public authorities should use systems for the electronic exchange of information for the purposes of obtaining information in order to accelerate and simplify clearance processes.

5.14.1 **Recommended Practice.** Public authorities should endeavour to quickly clear the transit procedure covering goods from another State awaiting loading.

C. Containers and pallets

5.15 **Standard.** Public authorities shall, subject to compliance with their respective regulations, permit the temporary admission of containers and pallets without payment of customs duties and other taxes and charges and shall facilitate their use in maritime traffic.

5.16 **Recommended Practice.** Public authorities should provide in their regulations, referred to in Standard 5.15, for the acceptance of a simple declaration to the effect that containers and pallets temporarily imported will be re-exported within the time-limit set by the State concerned.

5.17 **Standard.** Public authorities shall permit containers and pallets entering the territory of a State under the provisions of Standard 5.15 to depart the limits of the port of arrival for clearance of imported cargo and/or loading of export cargo under simplified control procedures and with a minimum of documentation.

5.18 **Standard.** Contracting Governments shall permit the temporary admission of component parts of containers without payment of customs duties and other taxes and charges when these parts are needed for the repair of containers already admitted under the terms of Standard 5.15.

D. Cargo not discharged at the port of intended destination

5.19 **Standard.** Where any cargo listed on the Cargo Declaration is not discharged at the port of intended destination, public authorities shall permit amendment of the Cargo Declaration and shall not impose penalties if satisfied that the cargo was not in fact loaded on the ship, or, if loaded, was landed at another port.

5.20 **Standard.** When, by error or for another valid reason, any cargo is discharged at a port other than the port of intended destination, public authorities shall facilitate re-forwarding to its intended destination. This provision does not apply to dangerous, prohibited or restricted cargo.

E. Limitation of shipowner's responsibilities

5.21 **Standard.** Public authorities shall not require a shipowner to place special information for use of such authorities on a transport document or a copy thereof, unless the shipowner is, or is acting for, the importer or exporter.

5.22 **Standard.** Public authorities shall not hold the shipowner responsible for the presentation or accuracy of documents which are required of the importer or exporter in connection with the clearance of cargo, unless the shipowner is, or is acting for, the importer or exporter.

Section 6 - Public health and quarantine, including sanitary measures for animals and plants

6.1 **Standard.** Public authorities of a State not Party to the International Health Regulations shall endeavour to apply the relevant provisions for these Regulations to international shipping.

6.2 **Recommended Practice.** Contracting Governments having certain interests in common owing to their health, geographical, social or economic conditions should conclude special arrangements pursuant to article 85 of the International Health Regulations when such arrangements will facilitate the application of those Regulations.

6.3 **Recommended Practice.** Where Sanitary Certificates or similar documents are required in respect of shipments of certain animals, plants or products thereof, such certificates and documents should be simple and widely publicized and Contracting Governments should co-operate with a view to standardizing such requirements.

6.4 **Recommended Practice.** Public authorities should whenever practicable authorize granting of pratique by radio to a ship when, on the basis of information received from it prior to its arrival, the health authority for the intended port of arrival is of the opinion that its arrival will not result in the introduction or spread of a quarantinable disease. Health authorities should as far as practicable be allowed to join a ship prior to entry of the ship into port.

6.4.1 **Standard.** Public authorities shall seek the co-operation of shipowners to ensure compliance with any requirement that illness on a ship is to be reported promptly by radio to health authorities for the port for which the ship is destined, in order to facilitate provision for the presence of any special medical personnel and equipment necessary for health procedures on arrival.

6.5 **Standard.** Public authorities shall make arrangements to enable all travel agencies and others concerned to make available to passengers, sufficiently in advance of departure, lists of the vaccinations required by the public authorities of the countries concerned, as well as vaccination certificate forms conforming to the International Health Regulations. Public authorities shall take all possible measures to have vaccinators use the International Certificates of Vaccination or Re-Vaccination, in order to assure uniform acceptance.

6.6 **Recommended Practice.** Public authorities should provide facilities for the completion of International Certificates of Vaccination or Re-Vaccination as well as facilities for vaccination at as many ports as feasible.

6.7 **Standard.** Public authorities shall ensure that sanitary measures and health formalities are initiated forthwith, completed without delay, and applied without discrimination.

6.8 **Recommended Practice.** Public authorities should maintain at as many ports as feasible adequate facilities for the administration of public health, animal and agricultural quarantine measures.

6.9 **Standard.** There shall be maintained readily available at as many ports in a State as feasible such medical facilities as may be reasonable and practicable for the emergency treatment of crews and passengers.

6.10 **Standard.** Except in the case of an emergency constituting a grave danger to public health, a ship which is not infected or suspected of being infected with a quarantinable disease shall not, on account of any other epidemic disease, be prevented by the health authorities for a port from discharging or loading cargo or stores or taking on fuel or water.

6.11 **Recommended Practice.** Shipments of animals, animal raw materials, crude animal products, animal foodstuffs and quarantinable plant products should be permitted in specified circumstances when accompanied by a quarantine certificate in the form agreed by the States concerned.

Section 7 - Miscellaneous provisions

A. Bonds and other forms of security

7.1 **Recommended Practice.** Where public authorities require bonds or other forms of security from shipowners to cover liabilities under the customs, immigration, public health, agricultural quarantine or similar laws and regulations of a State, they should permit the use of a single comprehensive bond or other form of security wherever possible.

B. Services at ports

7.2 **Recommended Practice.** The normal services of public authorities at a port should be provided without charge during normal working hours. Public authorities should establish normal working hours for their services at ports consistent with the usual periods of substantial workload.

7.3 **Standard.** Contracting Governments shall adopt all practicable measures to organize the normal services of public authorities at ports in order to avoid unnecessary delay of ships after their arrival or when ready to depart and reduce the time for completion of formalities to a minimum, provided that sufficient notice of estimated time of arrival or departure shall be given to the public authorities.

7.4 **Standard.** No charge shall be made by a health authority for any medical examination, or any supplementary examination, whether bacteriological or otherwise, carried out at any time of the day or night, if such examination is required to ascertain the health of the person examined, nor for visit to and inspection of a ship for quarantine purposes except inspection of a ship for the issue of a Deratting or Deratting Exemption Certificate, nor shall a charge be made for any vaccination of a person arriving by ship nor for a certificate thereof. However, where measures other than these are necessary in respect of a ship or its passengers or crew and charges are made for them by a health authority, such charges shall be made in accordance with a single tariff which shall be uniform to the territory concerned and they shall be levied without distinction as to the nationality, domicile or residence of any person concerned or as to the nationality, flag, registry or ownership of the ship.

7.5 **Recommended Practice.** When the services of public authorities are provided outside the regular working hours referred to in Recommended Practice 7.2, they should be provided on terms which shall be moderate and not exceed the actual cost of the services rendered.

7.6 **Standard.** Where the volume of traffic at a port warrants, public authorities shall ensure that services are provided for the accomplishment of the formalities in respect of cargo and baggage, regardless of value or type.

7.7 **Recommended Practice.** Contracting Governments should endeavour to make arrangements whereby one Government will permit another Government certain facilities before or during the voyage to examine ships, passengers, crew, baggage, cargo and documentation for customs, immigration, public health, plant and animal quarantine purposes when such action will facilitate clearance upon arrival in the latter State.

C. Emergency assistance

7.8 **Standard.** Public authorities shall facilitate the arrival and departure of ships engaged in:

- disaster relief work;
- the rescue of persons in distress at sea in order to provide a place of safety for such persons;
- the combating or prevention of marine pollution; or
- other emergency operations designated to enhance maritime safety, the safety of life at sea, the safety of the population or the protection of the marine environment.

7.9 **Standard.** Public authorities shall, to the greatest extent possible, facilitate the entry and clearance of persons, cargo, material and equipment required to deal with situations described in Standard 7.8.

7.10 **Standard.** Public authorities shall grant prompt customs clearance of specialized equipment needed to implement security measures.

D. National facilitation committees

7.11 **Recommended Practice.** Each Contracting Government should, where it considers such action necessary and appropriate, establish a national maritime transport facilitation programme based on the facilitation requirements of this annex and ensure that the objective of its facilitation programme should be to adopt all practical measures to facilitate the movement of ships, cargo, crews, passengers, mail and stores, by removing unnecessary obstacles and delays.

7.12 **Recommended Practice.** Each Contracting Government should establish a national maritime transport facilitation committee or a similar national co-ordinating body, for the encouragement of the adoption and implementation of facilitation measures, between governmental departments, agencies and other organizations concerned with, or responsible for, various aspects of international maritime traffic, as well as port authorities and shipowners.

Note: In establishing a national maritime transport facilitation committee or a similar national co-ordinating body, Contracting Governments are invited to take into account the guidelines set out in FAL.5/Circ. 2.

LIST OF APPENDICES

- Appendix 1 IMO FAL Forms
- Appendix 2 Format of a letter referenced to in Standard 3.3.1
- Appendix 3 Form referred to in Recommended Practice 4.6.2
- Appendix 4 IMDG Code, chapter 5.4, Documentation
- Appendix 5 Certificates and documents required to be carried on board ships
- Appendix 6 Simpler shipping marks
- Appendix 7 Differences between the national* practices of Contracting Governments and the Standards and Recommended Practices contained in the annex as notified to IMO pursuant to article VIII of the Convention
[To be issued in due course]

* Or local practice, as for the Associate Member Hong Kong, China.

APPENDIX 1

IMO GENERAL DECLARATION

		<input type="checkbox"/> Arrival	<input type="checkbox"/> Departure
1.1 Name and type of ship 1.2 IMO number 1.3 Call sign		2. Port of arrival/departure	3. Date - time of arrival/departure
4. Flag State of ship	5. Name of master	6. Last port of call/Next port of call	
7. Certificate of registry (Port; date; number)		8. Name and contact details of ship's agent	
9. Gross tonnage	10. Net tonnage		
11. Position of the ship in the port (berth or station)			
12. Brief particulars of voyage (previous and subsequent ports of call; underline where remaining cargo will be discharged)			
13. Brief description of the cargo			
14. Number of crew (incl. master)	15. Number of passengers	16. Remarks	
Attached documents (indicate number of copies)			
17. Cargo Declaration	18. Ship's Stores Declaration		
19. Crew List	20. Passenger List	21. The ship's requirements in terms of waste and residue reception facilities	
22. Crew's Effects Declaration*	23. Maritime Declaration of Health*		
24. Date and signature by master, authorized agent or officer			

For official use

IMO FAL
Form 1

* Only on arrival.

IMO CARGO DECLARATION

		Arrival	Departure	Page No.
Convention on Facilitation of International Maritime Traffic	1.1 Name and type of ship 1.2 IMO number 1.3 Call sign		2. Port where report is made	
	3. Flag State of ship	4. Name of master	5. Port of loading/Port of discharge	
	6. Marks and Nos.	7. Number and kind of packages; description of goods or, if available, the HS code	8. Gross weight	9. Measurement
IMO FAL Form 2				

10. Date and signature by master, authorized agent or officer

* Transport document No.

Also state original ports of shipment in respect to goods shipped on multimodal transport document or through bills of lading.

APPENDIX 2

ARRIVAL AND DEPARTURE OF PERSONS

A possible format for a covering letter referred to in Standard 3.3.1

<i>From:</i> Immigration or appropriate authority: [<i>Name</i>] Port/Airport: [<i>Name</i>] State: [<i>Name</i>] Telephone: Telex: Facsimile:	<i>To:</i> Immigration or appropriate authority: [<i>Name</i>] Port/Airport: [<i>Name</i>] State: [<i>Name</i>]
---	---

Enclosed is a photocopy of a fraudulent/falsified/counterfeit passport/ identity card

Document number:

State in whose name this document was issued:

The above-mentioned document was used by a person claiming to be:

Surname:

Given name(s):

Date of birth:

Place of birth:

Nationality:

Residence:

Photograph
if available

This person arrived on [*date*] at the port of [*name*] on a ship which departed from [*City and State*] on [*date*] [*voyage number*]

The holder was refused entry to [*name of State*] and the shipowner responsible has been instructed to remove the passenger from the territory of this State on voyage number/flight [*voyage number/flight number*] departing at [*time and date*] from [*name of airport/port*]

The above-mentioned document will be required as evidence in the holder's prosecution and has been impounded. As this document is the property of the State in whose name it was issued, it will be returned, following prosecution, to the appropriate authorities of ...

According to the Convention on Facilitation of International Maritime Traffic, 1965, as amended, the last State in which a person previously stayed and most recently travelled from is invited to accept him/her for re-examination when he/she has been refused admission to another State.

Date:

Name and signature of official

Title:

Name of immigration or appropriate authority:

(Warning: This is NOT an identification document)

<i>Date of birth:</i>	<i>First language:</i>
<i>Place of birth:</i>	<i>Spoken:</i>
<i>Claimed nationality:</i>	<i>Read:</i>
<i>Home address:</i>	<i>Written:</i>
<i>Country of domicile:</i>	<i>Other languages:</i>
	<i>Spoken:</i>
	<i>Read:</i>
	<i>Written:</i>

Other details:

- 1) *Method of boarding, including other persons involved (e.g. crew, port workers, etc.), and whether the stowaway was secreted in cargo/container or hidden in the ship:*

- 2) *Inventory of the Stowaway's possessions:*

- 3) *Statement made by the Stowaway:*

- 4) *Statement made by the Master (including any observations on the credibility of the information provided by the Stowaway).*

Date(s) of Interview(s):

Stowaway's signature:

Master's signature:

Date:

Date:

APPENDIX 4

IMDG Code, Amendment 33-06, chapter 5.4 on Documentation

- Note 1** The provisions of this Code do not preclude the use of electronic data processing (EDP) and electronic data interchange (EDI) transmission techniques as an aid to paper documentation.
- Note 2** When dangerous goods are offered for transport, similar documents to those required for other categories of goods have to be prepared. The form of these documents, the particulars to be entered on them and the obligations they entail may be fixed by international conventions applying to certain modes of transport and by national legislation.
- Note 3** One of the primary requirements of a transport document for dangerous goods is to convey the fundamental information relative to the hazards of the goods. It is, therefore, necessary to include certain basic information on the document for a consignment of dangerous goods unless otherwise exempted or required in this Code.
- Note 4** In addition to the provisions of this chapter, other elements of information may be required by the competent authority.

5.4.1 Dangerous goods transport documentation

5.4.1.1 General

Except as otherwise provided, the consignor who offers dangerous goods for transport shall describe the dangerous goods on a transport document and provide additional information and documentation as specified in this Code.

5.4.1.2 Form of the transport document

5.4.1.2.1 A dangerous goods transport document may be in any form, provided it contains all of the information required by the provisions of this Code.

5.4.1.2.2 If both dangerous and non-dangerous goods are listed in one document, the dangerous goods shall be listed first, or otherwise be emphasized.

5.4.1.2.3 *Continuation page*

A dangerous goods transport document may consist of more than one page, provided pages are consecutively numbered.

5.4.1.2.4 The information on a dangerous goods transport document shall be easy to identify, legible and durable.

5.4.1.2.5 *Example of a dangerous goods transport document*

The form shown in figure 5.4.5 is an example of a dangerous goods transport document.*

5.4.1.3 **Consignor, consignee and date**

The name and address of the consignor and the consignee of the dangerous goods shall be included on the dangerous goods transport document. The date the dangerous goods transport document or an electronic copy of it was prepared or given to the initial carrier shall be included.

5.4.1.4 **Information required on the dangerous goods transport document**

5.4.1.4.1 *Dangerous goods description*

The dangerous goods transport document shall contain the following information for each dangerous substance, material or article offered for transport:

- .1 The UN number preceded by the letters “UN”;
- .2 The proper shipping name, as determined according to 3.1.2, including the technical name enclosed in parenthesis, as applicable (see 3.1.2.8);
- .3 The primary hazard class or, when assigned, the division of the goods, including for Class 1, the compatibility group letter. The words “Class” or “Division” may be included preceding the primary hazard class or division numbers;
- .4 Subsidiary hazard class or division number(s) corresponding to the subsidiary risk label(s) required to be applied, when assigned, shall be entered following the primary hazard class or division and shall be enclosed in parenthesis. The words “Class” or “Division” may be included preceding the subsidiary hazard class or division numbers;
- .5 Where assigned, the packing group for the substance or article which may be preceded by “PG” (e.g.”PG II”).

5.4.1.4.2 *Sequence of the dangerous goods description*

The five elements of the dangerous goods description specified in 5.4.1.4.1 shall be shown in the order listed above (i.e. .1, .2, .3, .4, .5) with no information interspersed, except as provided in this Code. Unless permitted or required by this Code, additional information shall be placed after the dangerous goods description.

* For standardized formats, see also the relevant recommendations of the UN/ECE Working Party on Facilitation of International Trade Procedures, in particular Recommendation No.1 (United Nations Lay-out Key for Trade Documents) (ECE/TRADE/137, edition 96.1), Recommendation No. 11 (Documentary Aspects of the International Transport of Dangerous Goods) (ECE/TRADE/204, edition 96.1) and Recommendation No. 22 (Lay-out Key for standard Consignment Instructions) (ECE/TRADE/168, edition 96.1). Refer to the Trade Data Elements Directory, Volume III, Trade Facilitation Recommendations (ECE/TRADE/200)(United Nations publication sales No.E.96.II.E.13).

5.4.1.4.3 ***Information which supplements the Proper Shipping Name in the dangerous goods description***

The Proper Shipping Name (see 3.1.2) in the dangerous goods description shall be supplemented as follows:

- .1 *Technical names for “n.o.s.” and other generic descriptions:* Proper Shipping Names that are assigned special provision 274 in Column 6 of the Dangerous Goods List shall be supplemented with their technical or chemical group names as described in 3.1.2.8;
- .2 *Empty uncleaned packagings, bulk containers and tanks:* Empty means of containment (including packagings, IBCs, bulk containers, portable tanks, road tank vehicles and railway tank wagons) which contain the residue of dangerous goods of classes other than Class 7 shall be described as such by, for example, placing the words “EMPTY UNCLEANED” or “RESIDUE LAST CONTAINED” before or after the proper shipping name;
- .3 *Wastes:* For waste dangerous goods (other than radioactive wastes) which are being transported for disposal, or for processing for disposal, the Proper Shipping Name shall be preceded by the word “WASTE”, unless this is already a part of the proper shipping name;
- .4 *Elevated temperature substances:* If the Proper Shipping Name of a substance which is transported or offered for transport in a liquid state at a temperature equal to or exceeding 100°C, or in a solid state at a temperature equal to or exceeding 240°C, does not convey the elevated temperature condition (for example, by using the term “MOLTEN” or “ELEVATED TEMPERATURE” as part of the Proper Shipping Name), the word “HOT” shall immediately precede the Proper Shipping Name.
- .5 *Marine Pollutants:* If the goods to be transported are marine pollutants, the goods shall be identified as “MARINE POLLUTANT” (see 3.1.2.8);
- .6 *Flashpoint:* If the dangerous goods to be transported have a flashpoint of 60°C or below (in °C closed-cup (c.c.)), the minimum flashpoint shall be indicated. Because of the present of impurities the flashpoint may be lower or higher than the reference temperature indicated in the Dangerous Goods List for the substance. For class 5.2 organic peroxides which are also flammable, the flashpoint need not to be declared.

5.4.1.4.4 ***Examples of dangerous goods descriptions:***

UN1098 ALLYL ALCOHOL 6.1 (3) I (21°C c.c.)

UN1098, ALLYL ALCOHOL, class 6.1, (class 3), PG I, (21°C c.c.)

UN 1092, Acrolein, stabilized, class 6.1 (3), PG I, (-24°C c.c.) MARINE POLLUTANT

UN 2761, Organochlorine pesticide, solid, toxic (Aldrin 19%), class 6.1, PG III, MARINE POLLUTANT

5.4.1.5 Information required in addition to the dangerous goods description

In addition to the dangerous goods description the following information shall be included after the dangerous goods description on the dangerous goods transport document.

5.4.1.5.1 *Total quantity of dangerous goods*

Except for empty uncleaned packagings, the total quantity of dangerous goods covered by the description (by volume or mass as appropriate) of each item of dangerous goods bearing a different Proper Shipping Name, UN Number or packing group shall be included. For Class 1 dangerous goods, the quantity shall be the net explosive mass. For dangerous goods transported in salvage packagings, an estimate of the quantity of dangerous goods shall be given. The number and kind (e.g. drum, box, etc) of packages shall also be indicated. UN packaging codes may only be used to supplement the description of the kind of package (e.g. one box (4G)). Abbreviations may be used to specify the unit of measurement for the total quantity.

5.4.1.5.2 *Limited quantities*

5.4.1.5.2.1 When dangerous goods are transported according to the exceptions for dangerous goods packed in limited quantities provided for in Column 7 of the Dangerous Goods List and Chapter 3.4, the words “limited quantity” or “LTD QTY” shall be included.

5.4.1.5.2.2 Where a shipment is offered in accordance with 3.4.4.1.2, the following statement shall be included in the transport document: “Transport in accordance with 3.4.4.1.2 of the IMDG Code.

5.4.1.5.3 *Salvage packagings*

For dangerous goods transported in salvage packagings, the words “SALVAGE PACKAGE” shall be included.

5.4.1.5.4 *Substances stabilized by temperature control*

If the word “STABILIZED” is part of the Proper Shipping Name (see also 3.1.2.6), when stabilization is by means of temperature control, the control and emergency temperatures (see 7.7.2) shall be indicated in the transport document, as follows:

“Control temperature: . . . °C Emergency temperature: . . . °C”.

5.4.1.5.5 *Self-reactive substances and organic peroxides*

For self-reactive substances of class 4.1 and for organic peroxides which require temperature control during transport, the control and emergency temperatures (see 7.7.2) shall be indicated on the dangerous goods transport document, as follows:

“Control temperature: . . . °C Emergency temperature: . . . °C”.

5.4.1.5.5.1 When for certain self-reactive substances of class 4.1 and organic peroxides of class 5.2 the competent authority has permitted the “EXPLOSIVE” subsidiary risk label (model No. 1) to be dispensed with for the specific package, a statement to this effect shall be included.

5.4.1.5.5.2 When organic peroxides and self-reactive substances are transported under conditions where approval is required (for organic peroxides, see 2.5.3.2.5, 4.1.7.2.2, 4.2.1.13.1 and 4.2.1.13.3; for self-reactive substances, see 2.4.2.3.2.4 and 4.1.7.2.2), a statement to this effect shall be included in the dangerous goods transport document. A copy of the classification approval and conditions of transport for non-listed organic peroxides and self-reactive substances shall be attached to the dangerous goods transport document.

5.4.1.5.5.3 When a sample of an organic peroxide (see 2.5.3.2.5.1) or a self-reactive substance (see 2.4.2.3.2.4.2) is transported, a statement to this effect shall be included in the dangerous goods transport document.

5.4.1.5.6 *Infectious substances*

The full address of the consignee shall be shown on the document, together with the name of a responsible person and his telephone number.

5.4.1.5.7 *Radioactive material*

5.4.1.5.7.1 The following information shall be included for each consignment of class 7 material, as applicable, in the order given:

- .1 The name or symbol of each radionuclide or, for mixtures of radionuclides, an appropriate general description or a list of the most restrictive nuclides;
- .2 A description of the physical and chemical form of the material, or a notation that the material is special form radioactive material or low dispersible radioactive material. A generic chemical description is acceptable for chemical form;
- .3 The maximum activity of the radioactive contents during transport expressed in units of becquerels (Bq) with an appropriate SI prefix symbol (see 1.2.2.1). For fissile material, the mass of fissile material in units of grams (g), or appropriate multiples thereof, may be used in place of activity;
- .4 The category of the package, i.e. I-WHITE, II-YELLOW, III-YELLOW;
- .5 The transport index (categories II-YELLOW and III-YELLOW only);
- .6 For consignments including fissile material other than consignments excepted under 6.4.11.2, the criticality safety index;
- .7 The identification mark for each competent authority approval certificate (special form radioactive material, low dispersible radioactive material, special arrangement, package design, or shipment) applicable to the consignment;

- .8 For consignments of more than one package, the information contained in 5.4.1.4.1.1 to .3 and 5.4.1.5.7.1.1 to .7 shall be given for each package. For packages in an overpack, freight container, or conveyance, a detailed statement of the contents of each package within the overpack, freight container, or conveyance and, where appropriate, of each overpack, freight container, or conveyance shall be included. If packages are to be removed from the overpack, freight container, or conveyance at a point of intermediate unloading, appropriate transport documents shall be made available;
- .9 Where a consignment is required to be shipped under exclusive use, the statement “EXCLUSIVE USE SHIPMENT”; and
- .10 For LSA-II, LSA-III, SCO-I and SCO-II, the total activity of the consignment as a multiple of A2.

5.4.1.5.7.2 The transport document shall include a statement regarding actions, if any, that are required to be taken by the carrier. The statement shall be in the languages deemed necessary by the carrier or the authorities concerned, and shall include at least the following points:

- .1 Supplementary requirements for loading, stowage, transport, handling and unloading of the package, overpack or freight container including any special stowage provisions for the safe dissipation of heat (see 7.1.14.4), or a statement that no such requirements are necessary;
- .2 Restrictions on the mode of transport or conveyance and any necessary routing instructions;
- .3 Emergency arrangements appropriate to the consignment.

5.4.1.5.7.3 In case of international transport of packages requiring competent authorities design or shipment approval, for which different approval types apply in the different countries concerned, the UN number and proper shipping name required in 5.4.1.4.1 shall be in accordance with the certificate of the country of origin of design.

5.4.1.5.7.4 The applicable competent authority certificates need not necessarily accompany the consignment. The consignor shall make them available to the carrier(s) before loading and unloading.

5.4.1.5.8 *Aerosols*

If the capacity of an aerosol is above 1000ml, this shall be declared in the transport document.

5.4.1.5.9 *Explosives*

The following information shall be included for each consignment of class 1 goods, as applicable:

- .1 Entries have been included for “SUBSTANCES, EXPLOSIVE, N.O.S.”, “ARTICLES, EXPLOSIVE N.O.S.”, and “COMPONENTS, EXPLOSIVE TRAIN, N.O.S.”. When a specific entry does not exist, the competent authority of the country of origin shall use the entry appropriate to the

hazard division and compatibility group. The transport document shall contain the statement: 'Transport under this entry approved by the competent authority of ...' followed by the State's distinguishing sign for motor vehicles in international traffic of the country of the competent authority.

- .2 The transport of explosive substances for which a minimum water or phlegmatizer content is specified in the individual entry is prohibited when containing less water or phlegmatizer than the specified minimum. Such substances shall only be transported with special authorization granted by the competent authority of the country of origin. The transport document shall contain the statement “Transport under this entry approved by the competent authority of ...” followed by the State's distinguishing sign for motor vehicles in international traffic of the country of the competent authority.
- .3 When explosive substances or articles are packaged “as approved by the competent authority”, the transport document shall contain the statement “Packaging approved by the competent authority of ...” followed by the State's distinguishing sign for motor vehicles in international traffic of the country of the competent authority.
- .4 There are some hazards which are not indicated by the hazard division and compatibility group of a substance. The shipper shall provide an indication of any such hazards on the dangerous goods documentation.

5.4.1.5.10 *Viscous substances*

When viscous substances are transported in accordance with 2.3.2.5, the following statement shall be included in the transport document: “Transport in accordance with 2.3.2.5 of the IMDG Code.”.

5.4.1.5.11 *Special provisions for segregation*

- 5.4.1.5.11.1** For substances, mixtures, solutions or preparations consigned under N.O.S. entries not included in the segregation groups listed in 3.1.4.4 but belonging, in the opinion of the consignor, to one of these groups (see 3.1.4.2), the appropriate segregation group shall be included in the transport document.*
- 5.4.1.5.11.2** When substances are loaded together in a cargo transport unit in accordance with 7.2.1.13.1.2, the following statement shall be included in the transport document: “Transport in accordance with 7.2.1.13.1.2 of the IMDG Code.
- 5.4.1.5.11.3** When acid and alkali substances of class 8 are transported in the same cargo transport unit, whether in the same packaging or not, in accordance with 7.2.1.13.2, the following statement shall be included in the transport document: “Transport in accordance with 7.2.1.13.2 of the IMDG Code.

* It is recognized that a segregation group is not applicable in all cases and may, therefore, not appear in the transport document.

5.4.1.5.12 *Transport of solid dangerous goods in bulk containers*

For bulk containers other than freight containers, the following statement shall be included on the transport document (see 6.9.4.6):

“Bulk container BK2 approved by the competent authority of...”

5.4.1.6 **Certification**

5.4.1.6.1 The dangerous goods transport document shall include a certification or declaration that the consignment is acceptable for transport and that the goods are properly packaged, marked and labelled, and in proper condition for transport in accordance with the applicable regulations. The text for this certification is:

“I hereby declare that the contents of this consignment are fully and accurately described above by the Proper Shipping Name, and are classified, packaged, marked and labelled/placarded, and are in all respects in proper condition for transport according to applicable international and national government regulations.”

The certification shall be signed and dated by the consignor. Facsimile signatures are acceptable where applicable laws and regulations recognize the legal validity of facsimile signatures.

5.4.1.6.2 If the dangerous goods documentation is presented to the carrier by means of electronic data processing (EDP) or electronic data interchange (EDI) transmission techniques, the signature(s) may be replaced by the name(s) (in capitals) of the person authorized to sign.

5.4.2 **Container/vehicle packing certificate**

5.4.2.1 When dangerous goods are packed or loaded into any container* or vehicle, those responsible for packing the container or vehicle shall provide a “container/vehicle packing certificate” specifying the container/vehicle identification number(s) and certifying that the operation has been carried out in accordance with the following conditions:

- .1 The container/vehicle was clean, dry and apparently fit to receive the goods;
- .2 Packages which need to be segregated in accordance with applicable segregation requirements have not been packed together onto or in the container/vehicle (unless approved by the competent authority concerned in accordance with 7.2.2.3);
- .3 All packages have been externally inspected for damage, and only sound packages have been loaded;
- .4 Drums have been stowed in an upright position, unless otherwise authorized by the competent authority, and all goods have been properly

* See definition of “freight container” in 1.2.1.

loaded and, where necessary, adequately braced with securing material to suit the mode(s)** of transport for the intended journey;

- .5 Goods loaded in bulk have been evenly distributed within the container/vehicle;
- .6 For consignments including goods of class 1 other than division 1.4, the container/vehicle is structurally serviceable in accordance with 7.4.6;
- .7 The container/vehicle and packages are properly marked, labelled and placarded, as appropriate;
- .8 When solid carbon dioxide (CO₂-dry ice) is used for cooling purposes, the container/vehicle is externally marked or labelled in a conspicuous place, such as, at the door end, with the words: "DANGEROUS CO₂ (DRY ICE) INSIDE. VENTILATE THOROUGHLY BEFORE ENTERING"; and
- .9 A dangerous goods transport document, as indicated in 5.4.1, has been received for each dangerous goods consignment loaded in the container/vehicle.

Note: The container/vehicle packing certificate is not required for portable tanks.

5.4.2.2 The information required in the dangerous goods transport document and the container/vehicle packing certificate may be incorporated into a single document; if not, these documents shall be attached one to the other. If the information is incorporated into a single document, the document shall include a signed declaration such as "It is declared that the packing of the goods into the container/vehicle has been carried out in accordance with the applicable provisions". This declaration shall be dated and the person signing this declaration shall be identified on the document.

5.4.3 Documentation required aboard the ship

5.4.3.1 Each ship carrying dangerous goods and marine pollutants shall have a special list or manifest* setting out, in accordance with regulation 4.5 of chapter VII of SOLAS 1974, as amended, and with regulation 4(3) of Annex III of MARPOL 73/78, the dangerous goods and marine pollutants and the location thereof. A detailed stowage plan, which identifies by class and sets out the location of all dangerous goods and marine pollutants, may be used in place of such a special list or manifest. This dangerous goods or marine pollutants list or manifest shall be based on the documentation and certification required in this Code and shall at least contain, in addition to the information in 5.4.1.4 and 5.4.1.5, the stowage location and the total quantity of the dangerous goods and marine pollutants. A copy of one of these documents shall be made available before departure to the person or organization designated by the port State authority.

** See IMO/ILO/UN ECE Guidelines for Packing of Cargo Transport Units.

* FAL.2/Circ.51/Rev.1 may be used for this purpose.

5.4.3.2 Emergency response information

5.4.3.2.1 For consignments of dangerous goods, appropriate information shall be immediately available at all times for use in emergency response to accidents and incidents involving dangerous goods in transport. The information shall be available away from packages containing the dangerous goods and immediately accessible in the event of an incident. Methods of compliance include:

- .1 appropriate entries in the special list, manifest or dangerous goods declaration; or
- .2 provision of a separate document such as a safety data sheet; or
- .3 provision of separate documentation, such as the Emergency Response Procedures for Ships Carrying Dangerous Goods (EmS Guide) for use in conjunction with the transport document and the Medical First Aid Guide for Use in Accidents Involving Dangerous Goods (MFAG).

5.4.4 Other required information and documentation

5.4.4.1 In certain circumstances, special certificates or other documents are required such as:

- .1 a weathering certificate; as required in the individual entries of the Dangerous Goods List;
- .2 a certificate exempting a substance, material or article from the provisions of the IMDG Code (such as, see individual entries for charcoal, fishmeal, seedcake);
- .3 for new self-reactive substances and organic peroxides or new formulation of currently assigned self-reactive substances and organic peroxides, a statement by the competent authority of the country of origin of the approved classification and conditions of transport.

5.4.4.2 Fumigated units

The transport document for a fumigated unit shall show the type and amount of fumigant used and the date and time of fumigation. In addition, instructions for disposal of any residual fumigant, including fumigation devices, if used, shall be provided.

5.4.5 Multimodal Dangerous Goods Form

5.4.5.1 This form meets the requirements of SOLAS 74, chapter VII, regulation 4, MARPOL 73/78, Annex III, regulation 4 and the provisions of this chapter. The information required by the provisions of this chapter is mandatory; however the layout of this form is not mandatory.

MULTIMODAL DANGEROUS GOODS FORM

This form may be used as a dangerous goods declaration as it meets the requirements of SOLAS 74, chapter VII, regulation 4; MARPOL 73/78, Annex III, regulation 4

1 Shipper/Consignor/Sender		2 Transport document number				
		3 Page 1 of pages	4 Shipper's reference			
			5 Freight Forwarder's reference			
6 Consignee		7 Carrier (to be completed by the carrier)				
		SHIPPER'S DECLARATION I hereby declare that the contents of this consignment are fully and accurately described below by the Proper Shipping Name, and are classified, packaged, marked and labelled/placarded and are in all respects in proper condition for transport according to the applicable international and national governmental regulations.				
8 This shipment is within the limitations prescribed for: (Delete non-applicable)		9 Additional handling information				
<table border="1"> <tr> <td>PASSENGER AND CARGO AIRCRAFT</td> <td>CARGO AIRCRAFT ONLY</td> </tr> </table>		PASSENGER AND CARGO AIRCRAFT	CARGO AIRCRAFT ONLY			
PASSENGER AND CARGO AIRCRAFT	CARGO AIRCRAFT ONLY					
10 Vessel/flight no. and date	11 Port/place of loading					
12 Port/place of discharge	13 Destination					
14 Shipping marks *Number and kind of packages; description of goods Gross mass (kg) Net mass (kg) Cube (m ³)						
15 Container identification No./ vehicle registration No.	16 Seal number(s)	17 Container/vehicle size & type	18 Tare mass (kg)	19 Total gross mass (including tare) (kg)		
CONTAINER/VEHICLE PACKING CERTIFICATE I hereby declare that the goods described above have been packed/ loaded into the container/vehicle identified above in accordance with the applicable provisions.** MUST BE COMPLETED AND SIGNED FOR ALL CONTAINER/VEHICLE LOADS BY PERSON RESPONSIBLE FOR PACKING/LOADING.		21 RECEIVING ORGANIZATION RECEIPT Received the above number of packages/containers/trailers in apparent good order and condition unless stated hereon: RECEIVING ORGANIZATION REMARKS:				
20 Name of company		Haulier's name		22 Name of company (OF SHIPPER PREPARING THIS NOTE)		
Name/Status of declarant		Vehicle reg. no.				
Place and date		Signature and date				
Signature of declarant		DRIVER'S SIGNATURE				
				Signature of declarant		

* **DANGEROUS GOODS:**

You must specify: Proper Shipping Name, hazard class, UN No., packing group, (where assigned) marine pollutant and observe the mandatory requirements under applicable national and international governmental regulations. For the purposes of the IMDG Code see 5.4.1.4.

** For the purposes of the IMDG Code, see 5.4.2.

Documentary Aspects of the International Transport of Dangerous Goods

Container/Vehicle Packing Certificate

The signature given overleaf in Box 20 must be that of the person controlling the container/vehicle operation.

It is certified that:

The container/vehicle was clean, dry and apparently fit to receive the goods.

If the consignments include goods of class 1, other than division 1.4, the container is structurally serviceable.

No incompatible goods have been packed into the container/vehicle unless specially authorised by the Competent Authority.

All packages have been externally inspected for damage and only sound packages packed.

Drums have been stowed in an upright position, unless otherwise authorised by the Competent Authority.

All packages have been properly packed and secured in the container/vehicle.

When materials are transported in bulk packagings the cargo has been evenly distributed in the container/vehicle.

The packages and the container/vehicle have been properly marked, labelled and placarded. Any irrelevant mark, labels and placards have been removed.

When solid carbon dioxide (CO₂ - dry ice) is used for cooling purposes, the vehicle or freight container is externally marked or labelled in a conspicuous place, e.g. at the door end, with the words: DANGEROUS CO₂ GAS (DRY ICE) INSIDE - VENTILATE THOROUGHLY BEFORE ENTERING.

When this Dangerous Goods Form is used as a container/vehicle packing certificate only, not a combined document, a dangerous goods declaration signed by the shipper or supplier must have been issued/received to cover each dangerous goods consignment packed in the container.

Note: The container packing certificate is not required for tanks

1 Shipper/Consignor/Sender	2 Transport document number		
	3 Page of pages	4 Shipper's reference	
		5 Freight Forwarder's reference	
14 Shipping marks *Number and kind of packages; description of goods Gross mass (kg) Net mass (kg) Cube (m ³)			

APPENDIX 5

**CERTIFICATES AND DOCUMENTS REQUIRED TO BE CARRIED
ON BOARD SHIPS**

(Note: All certificates to be carried on board must be originals)

1	All ships	Reference
	<p>International Tonnage Certificate (1969) An International Tonnage Certificate (1969) shall be issued to every ship, the gross and net tonnage of which have been determined in accordance with the Convention.</p>	<p>Tonnage Convention, article 7</p>
	<p>International Load Line Certificate An International Load Line Certificate shall be issued under the provisions of the International Convention on Load Lines, 1966, to every ship which has been surveyed and marked in accordance with the Convention or the Convention as modified by the 1988 LL Protocol, as appropriate.</p>	<p>LL Convention, article 16; 1988 LL Protocol, article 18</p>
	<p>International Load Line Exemption Certificate An International Load Line Exemption Certificate shall be issued to any ship to which an exemption has been granted under and in accordance with article 6 of the Load Line Convention or the Convention as modified by the 1988 LL Protocol, as appropriate.</p>	<p>LL Convention, article 6; 1988 LL Protocol, article 18</p>
	<p>Intact stability booklet Every passenger ship regardless of size and every cargo ship of 24 metres and over shall be inclined on completion and the elements of their stability determined. The master shall be supplied with a Stability Booklet containing such information as is necessary to enable him, by rapid and simple procedures, to obtain accurate guidance as to the stability of the ship under varying conditions of loading. For bulk carriers, the information required in a bulk carrier booklet may be contained in the stability booklet.</p>	<p>SOLAS 1974, regulations II-1/22 and II-1/25-8; 1988 LL Protocol, regulation 10</p>
	<p>Damage control plans and booklets On passenger and cargo ships, there shall be permanently exhibited plans showing clearly for each deck and hold the boundaries of the watertight compartments, the openings therein with the means of closure and position of any controls thereof, and the arrangements for the correction of any list due to flooding. Booklets containing the aforementioned information shall be made available to the officers of the ship.</p>	<p>SOLAS 1974, regulations II-1/23, 23-1, 25-8; MSC/Circ.919</p>

	<p>Minimum safe manning document Every ship to which chapter I of the Convention applies shall be provided with an appropriate safe manning document or equivalent issued by the Administration as evidence of the minimum safe manning.</p>	<p>SOLAS 1974 (2000 amendments), regulation V/14.2</p>
	<p>Fire safety training manual A training manual shall be written in the working language of the ship and shall be provided in each crew mess room and recreation room or in each crew cabin. The manual shall contain the instructions and information required in regulation II-2/15.2.3.4. Part of such information may be provided in the form of audio-visual aids in lieu of the manual.</p>	<p>SOLAS 1974 (2000 amendments), regulation II-2/15.2.3</p>
	<p>Fire Control plan/booklet General arrangement plans shall be permanently exhibited for the guidance of the ship's officers, showing clearly for each deck the control stations, the various fire sections together with particulars of the fire detection and fire alarm systems and the fire-extinguishing appliances etc. Alternatively, at the discretion of the Administration, the aforementioned details may be set out in a booklet, a copy of which shall be supplied to each officer, and one copy shall at all times be available on board in an accessible position. Plans and booklets shall be kept up to date; any alterations shall be recorded as soon as practicable. A duplicate set of fire control plans or a booklet containing such plans shall be permanently stored in a prominently marked weathertight enclosure outside the deckhouse for the assistance of shore-side fire-fighting personnel.</p>	<p>SOLAS 1974 (2000 amendments), regulation II-2/15.2.4</p>
	<p>On board training and drills record Fire drills shall be conducted and recorded in accordance with the provisions of regulations III/19.3 and III/19.5.</p>	<p>SOLAS 1974 (2000 amendments), regulation II-2/15.2.2.5</p>
	<p>Fire safety operational booklet The fire safety operational booklet shall contain the necessary information and instructions for the safe operation of the ship and cargo handling operations in relation to fire safety. The booklet shall be written in the working language of the ship and be provided in each crew mess room and recreation room or in each crew cabin. The booklet may be combined with the fire safety training manuals required in regulation II-2/15.2.3.</p>	<p>SOLAS 1974 (2000 amendments), regulation II-2/16.2</p>
	<p>Certificates for masters, officers or ratings Certificates for masters, officers or ratings shall be issued to those candidates who, to the satisfaction of the Administration, meet the requirements for service, age,</p>	<p>STCW 1978, article VI, regulation I/2; STCW Code, section A-I/2</p>

	<p>medical fitness, training, qualifications and examinations in accordance with the provisions of the STCW Code annexed to the International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978. Formats of certificates are given in section A-I/2 of the STCW Code. Certificates must be kept available in their original form on board the ships on which the holder is serving.</p>	
	<p>International Oil Pollution Prevention Certificate An international Oil Pollution Prevention Certificate shall be issued, after survey in accordance with regulation 4 of Annex I of MARPOL 73/78, to any oil tanker of 150 gross tonnage and above and any other ship of 400 gross tonnage and above which is engaged in voyages to ports or offshore terminals under the jurisdiction of other Parties to MARPOL 73/78. The certificate is supplemented with a Record of Construction and Equipment for Ships other than Oil Tankers (Form A) or a Record of Construction and Equipment for Oil Tankers (Form B), as appropriate.</p>	<p>MARPOL 73/78, Annex I, regulation 5</p>
	<p>Oil Record Book Every oil tanker of 150 gross tonnage and above and every ship of 400 gross tonnage and above other than an oil tanker shall be provided with an Oil Record Book, Part I (Machinery space operations). Every oil tanker of 150 gross tonnage and above shall also be provided with an Oil Record Book, Part II (Cargo/ballast operations).</p>	<p>MARPOL 73/78, Annex I, regulation 20</p>
	<p>Shipboard Oil Pollution Emergency Plan Every oil tanker of 150 gross tonnage and above and every ship other than an oil tanker of 400 gross tonnage and above shall carry on board a Shipboard Oil Pollution Emergency Plan approved by the Administration.</p>	<p>MARPOL 73/78, Annex I, regulation 26</p>
	<p>International Sewage Pollution Prevention Certificate An International Sewage Pollution Prevention Certificate shall be issued, after an initial or renewal survey in accordance with the provisions of regulation 4 of Annex IV of MARPOL 73/78, to any ship which is required to comply with the provisions of that Annex and is engaged in voyages to ports or offshore terminals under the jurisdiction of other Parties to the Convention.</p>	<p>MARPOL 73/78, Annex IV, regulation 5; MEPC/Circ.408</p>
	<p>Garbage Management Plan Every ship of 400 gross tonnage and above and every ship which is certified to carry 15 persons or more shall carry a garbage management plan which the crew shall follow.</p>	<p>MARPOL 73/78, Annex V, regulation 9</p>

	<p>Garbage Record Book Every ship of 400 gross tonnage and above and every ship which is certified to carry 15 persons or more engaged in voyages to ports or offshore terminals under the jurisdiction of other Parties to the Convention and every fixed and floating platform engaged in exploration and exploitation of the sea-bed shall be provided with a Garbage Record Book.</p>	<p>MARPOL 73/78, Annex V, regulation 9</p>
	<p>Voyage data recorder system-certificate of compliance The voyage data recorder system, including all sensors, shall be subjected to an annual performance test. The test shall be conducted by an approved testing or servicing facility to verify the accuracy, duration and recoverability of the recorded data. In addition, tests and inspections shall be conducted to determine the serviceability of all protective enclosures and devices fitted to aid location. A copy of the certificate of compliance issued by the testing facility, stating the date of compliance and the applicable performance standards, shall be retained on board the ship.</p>	<p>SOLAS 1974, regulation V/18.8</p>
	<p>Cargo Securing Manual All cargoes, other than solid and liquid bulk cargoes, cargo units and cargo transport units, shall be loaded, stowed and secured throughout the voyage in accordance with the Cargo Securing Manual approved by the Administration. In ships with ro-ro spaces, as defined in regulation II-2/3.41, all securing of such cargoes, cargo units and cargo transport units, in accordance with the Cargo Securing Manual, shall be completed before the ship leaves the berth. The Cargo Securing Manual is required on all types of ships engaged in the carriage of all cargoes other than solid and liquid bulk cargoes, which shall be drawn up to a standard at least equivalent to the guidelines developed by the Organization.</p>	<p>SOLAS 1974 (2002 amendments), regulations VI/5.6 and VII/5; MSC/Circ.745</p>
	<p>Document of Compliance A document of compliance shall be issued to every company which complies with the requirements of the ISM Code. A copy of the document shall be kept on board.</p>	<p>SOLAS 1974, regulation IX/4; ISM Code, paragraph 13</p>
	<p>Safety Management Certificate A Safety Management Certificate shall be issued to every ship by the Administration or an organization recognized by the Administration. The Administration or an organization recognized by it shall, before issuing the Safety Management Certificate, verify that the company and its shipboard management operate in accordance with the approved safety management system.</p>	<p>SOLAS 1974, regulation IX/4; ISM Code, paragraph 13</p>

	<p>International Ship Security Certificate (ISSC) or Interim International Ship Security Certificate An International Ship Security Certificate (ISSC) shall be issued to every ship by the Administration or an organization recognized by it to verify that the ship complies with the maritime security provisions of SOLAS chapter XI-2 and part A of the ISPS Code. An interim ISSC may be issued under the ISPS Code part A, section 19.4.</p>	<p>SOLAS 1974 (2002 amendments), regulation XI-2/9.1.1; ISPS Code part A, section 19 and appendices.</p>
	<p>Ship Security Plan and associated records Each ship shall carry on board a ship security plan approved by the Administration. The plan shall make provisions for the three security levels as defined in part A of the ISPS Code. Records of the following activities addressed in the ship security plan shall be kept on board for at least the minimum period specified by the Administration:</p> <ul style="list-style-type: none"> .1 training, drills and exercises; .2 security threats and security incidents; .3 breaches of security; .4 changes in security level; .5 communications relating to the direct security of the ship such as specific threats to the ship or to port facilities the ship is, or has been, in; .6 internal audits and reviews of security activities; .7 periodic review of the ship security assessment; .8 periodic review of the ship security plan; .9 implementation of any amendments to the plan; and .10 maintenance, calibration and testing of any security equipment provided on board, including testing of the ship security alert system. 	<p>SOLAS 1974 (2002 amendments), regulation XI-2/9; ISPS Code part A, sections 9 and 10</p>
	<p>Continuous Synopsis Record (CSR) Every ship to which chapter I of the Convention applies shall be issued with a Continuous Synopsis Record. The Continuous Synopsis Record provides an on-board record of the history of the ship with respect to the information recorded therein.</p>	<p>SOLAS 1974 (2002 amendments), regulation XI-1/5</p>

2	<p>In addition to the certificates listed in section 1 above, passenger ships shall carry:</p>	
	<p>Passenger Ship Safety Certificate¹ A certificate called a Passenger Ship Safety Certificate shall be issued after inspection and survey to a passenger ship which complies with the requirements of chapters II-1, II-2, III and IV and any other relevant requirements of SOLAS 1974. A Record of Equipment for the Passenger Ship Safety Certificate (Form P) shall be permanently attached.</p>	<p>SOLAS 1974, regulation I/12, as amended by the GMDSS amendments; 1988 SOLAS Protocol, regulation I/12, (2000 amendments), appendix</p>
	<p>Exemption Certificate² When an exemption is granted to a ship under and in accordance with the provisions of SOLAS 1974, a certificate called an Exemption Certificate shall be issued in addition to the certificates listed above.</p>	<p>SOLAS 1974, regulation I/12; 1988 SOLAS Protocol, regulation I/12</p>
	<p>Special Trade Passenger Ship Safety Certificate, Special Trade Passenger Ship Space Certificate A Special Trade Passenger Ship Safety Certificate issued under the provisions of the Special Trade Passenger Ships Agreement, 1971. A certificate called a Special Trade Passenger Ship Space Certificate shall be issued under the provisions of the Protocol on Space Requirements for Special Trade Passenger Ships, 1973.</p>	<p>STP 71, rule 5 SSTP 73, rule 5</p>
	<p>Search and rescue co-operation plan Passenger ships to which chapter I of the Convention applies shall have on board a plan for co-operation with appropriate search and rescue services in event of an emergency.</p>	<p>SOLAS 1974 (2000 amendments), regulation V/7.3</p>
	<p>List of operational limitations Passenger ships to which chapter I of the Convention applies shall keep on board a list of all limitations on the operation of the ship, including exemptions from any of the SOLAS, regulations, restrictions in operating areas, weather restrictions, sea state restrictions, restrictions in permissible loads, trim, speed and any other limitations, whether imposed by the Administration or established during the design or the building stages.</p>	<p>SOLAS 1974 (2000 amendments), regulation V/30</p>

¹ The form of the Certificate and its Record of Equipment may be found in the GMDSS amendments to SOLAS 1974.

² SLS.14/Circ.115 and Add.1 refers to the issue of exemption certificates.

	Decision support system for masters In all passenger ships, a decision support system for emergency management shall be provided on the navigation bridge.	SOLAS 1974, regulation III/29
3	In addition to the certificates listed in section 1 above, cargo ships shall carry:	
	Cargo Ship Safety Construction Certificate³ A certificate called a Cargo Ship Safety Construction Certificate shall be issued after survey to a cargo ship of 500 gross tonnage and over which satisfies the requirements for cargo ships on survey, set out in regulation I/10 of SOLAS 1974, and complies with the applicable requirements of chapters II-1 and II-2, other than those relating to fire-extinguishing appliances and fire control plans.	SOLAS 1974, regulation I/12, as amended by the GMDSS amendments; 1988 SOLAS Protocol, regulation I/12
	Cargo Ship Safety Equipment Certificate⁴ A certificate called a Cargo Ship Safety Equipment Certificate shall be issued after survey to a cargo ship of 500 gross tonnage and over which complies with the relevant requirements of chapters II-1 and II-2 and III and any other relevant requirements of SOLAS 1974. A Record of Equipment for the Cargo Ship Safety Equipment Certificate (Form E) shall be permanently attached.	SOLAS 1974, regulation I/12, as amended by the GMDSS amendments; 1988 SOLAS Protocol, regulation I/12 (2000 amendments), appendix
	Cargo Ship Safety Radio Certificate⁵ A certificate called a Cargo Ship Safety Radio Certificate shall be issued after survey to a cargo ship of 300 gross tonnage and over, fitted with a radio installation, including those used in life-saving appliances, which complies with the requirements of chapters III and IV and any other relevant requirements of SOLAS 1974. A Record of Equipment for the Cargo Ship Safety Radio Certificate (Form R) shall be permanently attached.	SOLAS 1974, regulation I/12, as amended by the GMDSS amendments; 1988 SOLAS Protocol, regulation I/12
	Cargo Ship Safety Certificate A certificate called a Cargo Ship Safety Certificate may be issued after survey to a cargo ship which complies with the relevant requirements of chapters II-1, II-2, III, IV and V and other relevant requirements of SOLAS 1974 as modified by the 1988 SOLAS Protocol, as an alternative to the above cargo ship safety certificates. A Record of Equipment for the Cargo Ship Safety Certificate (Form C) shall be permanently attached.	1988 SOLAS Protocol, regulation I/12 (2000 amendments), appendix

³ The form of the Certificate may be found in the GMDSS amendments to SOLAS 1974.

⁴ The form of the Certificate and its Record of Equipment may be found in the GMDSS amendments to SOLAS 1974.

⁵ The form of the Certificate and its Record of Equipment may be found in the GMDSS amendments to SOLAS 1974.

	<p>Exemption Certificate⁶ When an exemption is granted to a ship under and in accordance with the provisions of SOLAS 1974, a certificate called an Exemption Certificate shall be issued in addition to the certificates listed above.</p>	<p>SOLAS 1974, regulation I/12 ; 1988 SOLAS Protocol, regulation I/12</p>
	<p>Document of authorization for the carriage of grain A document of authorization shall be issued for every ship loaded in accordance with the regulations of the International Code for the Safe Carriage of Grain in Bulk either by the Administration or an organization recognized by it or by a Contracting Government on behalf of the Administration. The document shall accompany or be incorporated into the grain loading manual provided to enable the master to meet the stability requirements of the Code.</p>	<p>SOLAS 1974, regulation VI/9; International Code for the Safe Carriage of Grain in Bulk, section 3</p>
	<p>Certificate of insurance or other financial security in respect of civil liability for oil pollution damage A certificate attesting that insurance or other financial security is in force shall be issued to each ship carrying more than 2,000 tons of oil in bulk as cargo. It shall be issued or certified by the appropriate authority of the State of the ship's registry after determining that the requirements of article VII, paragraph 1, of the CLC Convention have been complied with.</p>	<p>CLC 1969, article VII</p>
	<p>Certificate of insurance or other financial security in respect of civil liability for oil pollution damage A certificate attesting that insurance or other financial security is in force in accordance with the provisions of the 1992 CLC Convention shall be issued to each ship carrying more than 2,000 tons of oil in bulk as cargo after the appropriate authority of a Contracting State has determined that the requirements of article VII, paragraph 1, of the Convention have been complied with. With respect to a ship registered in a Contracting State, such certificate shall be issued by the appropriate authority of the State of the ship's registry; with respect to a ship not registered in a Contracting State, it may be issued or certified by the appropriate authority of any Contracting State.</p>	<p>CLC 1992, article VII</p>
	<p>Enhanced survey report file Bulk carriers and oil tankers shall have a survey report file and supporting documents complying with paragraphs 6.2 and 6.3 of annex A and annex B of resolution A.744 (18) – Guidelines on the enhanced programme of inspections during surveys of bulk carriers and oil tankers.</p>	<p>SOLAS 1974 (2002 amendments), regulation XI-1/2; resolution A.744(18)</p>

⁶ SLS.14/Circ.115 and Add.1 refers to the issue of exemption certificates.

	<p>Record of oil discharge monitoring and control system for the last ballast voyage Subject to provisions of paragraphs (4), (5), (6) and (7) of regulation 15 of Annex I of MARPOL 73/78, every oil tanker of 150 gross tonnage and above shall be fitted with an oil discharge monitoring and control system approved by the Administration. The system shall be fitted with a recording device to provide a continuous record of the discharge in litres per nautical mile and total quantity discharged, or the oil content and rate of discharge. This record shall be identifiable as to time and date and shall be kept for at least three years.</p>	<p>MARPOL 73/78, Annex I, regulation 15(3)(a)</p>
	<p>Cargo Information The shipper shall provide the master or his representative with appropriate information, confirmed in writing, on the cargo, in advance of loading. In bulk carriers, the density of the cargo shall be provided in the above information.</p>	<p>SOLAS 1974, regulations VI/2 and XII/10; MSC/Circ.663</p>
	<p>Bulk Carrier Booklet To enable the master to prevent excessive stress in the ship's structure, the ship loading and unloading solid bulk cargoes shall be provided with a booklet referred to in SOLAS regulation VI/7.2. The booklet shall be endorsed by the Administration or on its behalf to indicate that SOLAS regulations XII/4, 5, 6 and 7, as appropriate, are complied with. As an alternative to a separate booklet, the required information may be contained in the intact stability booklet.</p>	<p>SOLAS 1974, regulations VI/7 and XII/8; Code of Practice for the Safe Loading and Unloading of Bulk Carriers (BLU Code)</p>
	<p>Dedicated Clean Ballast Tank Operation Manual Every oil tanker operating with dedicated clean ballast tanks in accordance with the provisions of regulation 13(10) of Annex I of MARPOL 73/78 shall be provided with a Dedicated Clean Ballast Tank Operation Manual detailing the system and specifying operational procedures. Such a Manual shall be to the satisfaction of the Administration and shall contain all the information set out in the Specifications referred to in paragraph 2 of regulation 13A of Annex I of MARPOL 73/78.</p>	<p>MARPOL 73/78, Annex I, regulation 13A</p>
	<p>Crude Oil Washing Operation and Equipment Manual (COW Manual) Every oil tanker operating with crude oil washing systems shall be provided with an Operations and Equipment Manual detailing the system and equipment and specifying operational procedures. Such a Manual shall be to the satisfaction of the Administration and shall contain all the information set out in the specifications referred to in paragraph 2 of regulation 13B of Annex I of MARPOL 73/78.</p>	<p>MARPOL 73/78, Annex I, regulation 13B</p>

	<p>Condition Assessment Scheme (CAS) Statement of Compliance, CAS Final Report and Review Record A Statement of Compliance shall be issued by the Administration to every oil tanker which has been surveyed in accordance with the requirements of the Condition Assessment Scheme (CAS) (resolution MEPC.94(46), as amended) and found to be in compliance with these requirements. In addition, a copy of the CAS Final Report which was reviewed by the Administration for the issue of the Statement of Compliance and a copy of the relevant Review Record shall be placed on board to accompany the Statement of Compliance.</p>	<p>MARPOL 73/78, Annex I (2001 amendments (resolution MEPC.95(46)), regulation 13G; resolution MEPC.94(46)</p>
	<p>Hydrostatically Balanced Loading (HBL) Operational Manual Every oil tanker which, in compliance with regulation 13G(6)(b), operates with Hydrostatically Balanced Loading shall be provided with an operational manual in accordance with resolution MEPC.64(36).</p>	<p>MARPOL 73/78, Annex I (2001 amendments (resolution MEPC.95(46)), regulation 13G</p>
	<p>Oil Discharge Monitoring and Control (ODMC) Operational Manual Every oil tanker fitted with an Oil Discharge Monitoring and Control system shall be provided with instructions as to the operation of the system in accordance with an operational manual approved by the Administration.</p>	<p>MARPOL 73/78, Annex I, regulation 15(3)(c)</p>
	<p>Subdivision and stability information Every oil tanker to which regulation 25 of Annex I of MARPOL 73/78 applies shall be provided in an approved form with information relative to loading and distribution of cargo necessary to ensure compliance with the provisions of this regulation and data on the ability of the ship to comply with damage stability criteria as determined by this regulation.</p>	<p>MARPOL 73/78, Annex I, regulation 25</p>

4	<p>In addition to the certificates listed in sections 1 and 3 above, where appropriate, any ship carrying noxious liquid chemical substances in bulk shall carry:</p>	
	<p>International Pollution Prevention Certificate for the Carriage of Noxious Liquid Substances in Bulk (NLS Certificate) An international pollution prevention certificate for the carriage of noxious liquid substances in bulk (NLS certificate) shall be issued, after survey in accordance with the provisions of regulation 10 of Annex II of MARPOL 73/78, to any ship carrying noxious liquid substances in bulk and which is engaged in voyages to ports or terminals under the jurisdiction of other Parties to MARPOL 73/78. In respect of chemical tankers, the Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk and the International Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk, issued under the provisions of the Bulk Chemical Code and International Bulk Chemical Code, respectively, shall have the same force and receive the same recognition as the NLS certificate.</p>	<p>MARPOL 73/78, Annex II, regulations 11 and 12A</p>
	<p>Cargo record book Every ship to which Annex II of MARPOL 73/78 applies shall be provided with a Cargo Record Book, whether as part of the ship's official log book or otherwise, in the form specified in appendix IV to the Annex.</p>	<p>MARPOL 73/78, Annex II, regulation 9</p>
	<p>Procedures and Arrangements Manual (P & A Manual) Every ship certified to carry noxious liquid substances in bulk shall have on board a Procedures and Arrangements Manual approved by the Administration.</p>	<p>Resolution MEPC.18(22), chapter 2; MARPOL 73/78, Annex II, regulations 5, 5A and 8</p>
	<p>Shipboard Marine Pollution Emergency Plan for Noxious Liquid Substances Every ship of 150 gross tonnage and above certified to carry noxious liquid substances in bulk shall carry on board a shipboard marine pollution emergency plan for noxious liquid substances approved by the Administration.</p>	<p>MARPOL 73/78, Annex II, regulation 16</p>
5	<p>In addition to the certificates listed in sections 1 and 3 above, where applicable, any chemical tanker shall carry:</p>	
	<p>Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk A certificate called a Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk, the model form of which is set out in the appendix to the Bulk Chemical Code, should</p>	<p>BCH Code, section 1.6; BCH Code as modified by resolution MSC.18(58), section 1.6</p>

	<p>be issued after an initial or periodical survey to a chemical tanker engaged in international voyages which complies with the relevant requirements of the Code.</p> <p>Note: The Code is mandatory under Annex II of MARPOL 73/78 for chemical tankers constructed before 1 July 1986.</p> <p>or</p>	
	<p>International Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk</p> <p>A certificate called an International Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk, the model form of which is set out in the appendix to the International Bulk Chemical Code, should be issued after an initial or periodical survey to a chemical tanker engaged in international voyages which complies with the relevant requirements of the Code.</p> <p>Note: The Code is mandatory under both chapter VII of SOLAS 1974 and Annex II of MARPOL 73/78 for chemical tankers constructed on or after 1 July 1986.</p>	<p>IBC Code, section 1.5; IBC Code as modified by resolutions MSC.16(58) and MEPC.40(29), section 1.5</p>
6	<p>In addition to the certificates listed in sections 1 and 3 above, where applicable, any gas carrier shall carry:</p>	
	<p>Certificate of Fitness for the Carriage of Liquefied Gases in Bulk</p> <p>A certificate called a Certificate of Fitness for the Carriage of Liquefied Gases in Bulk, the model form of which is set out in the appendix to the Gas Carrier Code, should be issued after an initial or periodical survey to a gas carrier which complies with the relevant requirements of the Code.</p>	<p>GC Code, section 1.6</p>
	<p>International Certificate of Fitness for the Carriage of Liquefied Gases in Bulk</p> <p>A certificate called an International Certificate of Fitness for the Carriage of Liquefied Gases in Bulk, the model form of which is set out in the appendix to the International Gas Carrier Code, should be issued after an initial or periodical survey to a gas carrier which complies with the relevant requirements of the Code.</p> <p>Note: The Code is mandatory under chapter VII of SOLAS 1974 for gas carriers constructed on or after 1 July 1986.</p>	<p>IGC Code, section 1.5; IGC Code as modified by resolution MSC.17(58), section 1.5</p>

7	<p>In addition to the certificates listed in sections 1, and 2 or 3 above, where applicable, any high-speed craft shall carry:</p>	
	<p>High-Speed Craft Safety Certificate A certificate called a High-Speed Craft Safety Certificate shall be issued after completion of an initial or renewal survey to a craft which complies with the requirements of the 1994 HSC Code or the 2000 HSC Code, as appropriate.</p>	<p>SOLAS 1974, regulation X/3; 1994 HSC Code, section 1.8; 2000 HSC Code, section 1.8</p>
	<p>Permit to Operate High-Speed Craft A certificate called a Permit to Operate High-Speed Craft shall be issued to a craft which complies with the requirements set out in paragraphs 1.2.2 to 1.2.7 of the 1994 HSC Code or the 2000 HSC Code, as appropriate.</p>	<p>1994 HSC Code, section 1.9; 2000 HSC Code, section 1.9</p>
8	<p>In addition to the certificates listed in sections 1, and 2 or 3 above, where applicable, any ship carrying dangerous goods shall carry:</p>	
	<p>Document of compliance with the special requirements for ships carrying dangerous goods The Administration shall provide the ship with an appropriate document as evidence of compliance of construction and equipment with the requirements of regulation II-2/19 of SOLAS 1974. Certification for dangerous goods, except solid dangerous goods in bulk, is not required for those cargoes specified as class 6.2 and 7 and dangerous goods in limited quantities.</p>	<p>SOLAS 1974, (2000 amendments), regulation II-2/19.4</p>

9	<p>In addition to the certificates listed in sections 1, and 2 or 3 above, where applicable, any ship carrying dangerous goods in packaged form shall carry:</p>	
	<p>Dangerous goods manifest or stowage plan Each ship carrying dangerous goods in packaged form shall have a special list or manifest setting forth, in accordance with the classification set out in the IMDG Code, the dangerous goods on board and the location thereof. Each ship carrying dangerous goods in solid form in bulk shall have a list or manifest setting forth the dangerous goods on board and the location thereof. A detailed stowage plan, which identifies by class and sets out the location of all dangerous goods on board, may be used in place of such a special list or manifest. A copy of one of these documents shall be made available before departure to the person or organization designated by the port State authority.</p>	<p>SOLAS 1974, (2002 amendments), regulations VII/4.5 and VII/7-2; MARPOL 73/78, Annex III, regulation 4</p>
10	<p>In addition to the certificates listed in sections 1, and 2 or 3 above, where applicable, any ship carrying INF cargo shall carry:</p>	
	<p>International Certificate of Fitness for the Carriage of INF Cargo A ship carrying INF cargo shall comply with the requirements of the International Code for the Safe Carriage of Packaged Irradiated Nuclear Fuel, Plutonium and High-Level Radioactive Wastes on Board Ships (INF Code) in addition to any other applicable requirements of the SOLAS regulations and shall be surveyed and be provided with the International Certificate of Fitness for the Carriage of INF Cargo.</p>	<p>SOLAS 1974, regulation VII/16; INF Code (resolution MSC.88(71)), paragraph 1.3</p>
11	<p>In addition to the certificates listed in sections 1, and 2 or 3 above, where applicable, any Nuclear Ship shall carry:</p>	
	<p>A Nuclear Cargo Ship Safety Certificate or Nuclear Passenger Ship Safety Certificate, in place of the Cargo Ship Safety Certificate or Passenger Ship Safety Certificate, as appropriate.</p> <p>Every Nuclear powered ship shall be issued with the certificate required by SOLAS chapter VIII.</p>	<p>SOLAS 1974, regulation VIII/10</p>

Other certificates and documents which are not mandatory	
Special purpose ships	
<p>Special Purpose Ship Safety Certificate In addition to SOLAS certificates as specified in paragraph 7 of the Preamble of the Code of Safety for Special Purpose Ships, a Special Purpose Ship Safety Certificate should be issued after survey in accordance with the provisions of paragraph 1.6 of the Code for Special Purpose Ships. The duration and validity of the certificate should be governed by the respective provisions for cargo ships in SOLAS 1974. If a certificate is issued for a special purpose ship of less than 500 gross tonnage, this certificate should indicate to what extent relaxations in accordance with 1.2 were accepted.</p>	Resolution A.534(13) as amended by MSC/Circ.739; SOLAS 1974, regulation I/12; 1988 SOLAS Protocol, regulation I/12
Offshore support vessels	
<p>Certificate of Fitness for Offshore Support Vessels When carrying such cargoes, offshore support vessels should carry a Certificate of Fitness issued under the "Guidelines for the Transport and Handling of Limited Amounts of Hazardous and Noxious Liquid Substances in Bulk on Offshore Support Vessels". If an offshore support vessel carries only noxious liquid substances, a suitably endorsed International Pollution Prevention Certificate for the Carriage of Noxious Liquid Substances in Bulk may be issued instead of the above Certificate of Fitness.</p>	Resolution A.673(16); MARPOL 73/78, Annex II, regulation 13(4)
Diving systems	
<p>Diving System Safety Certificate A certificate should be issued either by the Administration or any person or organization duly authorized by it after survey or inspection to a diving system which complies with the requirements of the Code of Safety for Diving Systems. In every case, the Administration should assume full responsibility for the certificate.</p>	Resolution A.536(13), section 1.6
Dynamically supported craft	
<p>Dynamically Supported Craft Construction and Equipment Certificate To be issued after survey carried out in accordance with paragraph 1.5.1(a) of the Code of Safety for Dynamically Supported Craft.</p>	Resolution A.373(X), section 1.6

	Mobile offshore drilling units	
	<p>Mobile Offshore Drilling Unit Safety Certificate To be issued after survey carried out in accordance with the provisions of the Code for the Construction and Equipment of Mobile Offshore Drilling Units, 1979, or, for units constructed on or after 1 May 1991, the Code for the Construction and Equipment of Drilling Units, 1989.</p>	<p>Resolution A.414(XI), section 1.6; Resolution A.649(16) section 1.6; Resolution A.649(16) as modified by resolution MSC.38(63), section 1.6</p>
	Wing-In-Ground (WIG) Craft	
	<p>Wing-in-ground Craft Safety Certificate A certificate called a WIG Craft Safety Certificate should be issued after completion of an initial or renewal survey to a craft, which complies with the provisions of the Interim Guidelines for WIG craft.</p>	<p>MSC/Circ.1054, section 9</p>
	<p>Permit to Operate WIG Craft A permit to operate should be issued by the Administration to certify compliance with the provisions of the Interim Guidelines for WIG craft.</p>	<p>MSC/Circ.1054, section 10</p>
	Noise levels	
	<p>Noise Survey Report A noise survey report should be made for each ship in accordance with the Code on Noise Levels on Board Ships.</p>	<p>Resolution A.468(XII), section 4.3</p>

APPENDIX 6

SIMPLER SHIPPING MARKS*

I. Background

1. The purpose of shipping marks is to identify cargo and help in moving it rapidly, smoothly and safely without delays or confusion to its final destination and to enable the checking of cargo against documents. However, in some instances marks have become so lengthy and detailed that the sides of packages can no longer hold them. It has been said that packages become documents. The result is unnecessary costs, mistakes, confusion and shipment delays, and the purpose of shipping marks is compromised.

2. Shipping marks differ widely between countries and between modes of transport. With the increasing volume of international trade, with the advent of multimodal and combined transport, with the growing need to manage such data for the best use in modern systems and automatic data-processing facilities, and with increasing cost-consciousness, it is clear that simple and consistent standards for shipping marks should be established.

3. Some of the benefits of such standardization are:

Reduced cost. Each character eliminated from shipping marks saves time and money in marking goods, in typing documents, in transcribing information and in computer usage.

Quicker checking of cargoes and documents – for instance, in cargo tallying and checking of documentary credits. This leads to quicker turn-round of vessels and improved cash flow.

Increased safety by using internationally recognized symbols for handling instructions and danger warnings.

Trouble-free delivery of goods. The purpose of shipping marks is fulfilled; the delays and other difficulties caused through lengthy, complex marks are avoided.

* This is Recommendation No. 15, third edition (May 1992) of the U.N. Economic Commission for Europe, and has been adopted by the Working Party on Facilitation of International Trade Procedures.

Examples:

Complicated Shipping Mark

ASSOCIATED BUYING CORPORATION LIMITED
BOMBAY INDIA
CONTRACT NO. 1234
IMPORT LICENCE NO. SA-100-77-35790
PACKAGE NO. 1 OF 25
DESTINATION: BOMBAY INDIA
NET WEIGHT: 401 KGS
GROSS WEIGHT: 462 KGS
DIMENSIONS: 105CMLx90CMWx62CMH
CONTRACTOR: STANDARD TRADING CO LTD TOKYO JAPAN
MADE IN THE UNITED KINGDOM

*Simple
Shipping Mark*

ABC
1234
BOMBAY
1/25

4. Following detailed research carried out in several countries, in particular in France, the German Democratic Republic, Japan, Sweden, The Union of Soviet Socialist Republics, the United Kingdom of Great Britain and Northern Ireland, and the United States of America, and in co-operation with international organisations such as the International Organisation for Standardization (ISO) and the International Cargo Handling Co-ordination Association (ICHCA), it was agreed to put forward a recommendation setting out:

A Standard Shipping Mark for marking on packages and for reproduction in documents.

Information Marks for providing any necessary additional information on packages only.

5. It was recognized that shipping marks are predominantly stipulated by importers. While this Recommendation is particularly directed at them – especially their purchase and documentary credit departments – it applies equally to others responsible for the marking, handling and documentation – for example, Government offices and agencies, international organisations, trading companies, manufacturers, export packers, warehousemen, freight forwarders, groupage and inland clearance depot operators, stevedores, port authorities, carriers by any mode of transport, as well as measuring and tallying institutions.

II. Scope

6. This Recommendation aims at establishing a standard consignment identifier in the form of a simplified and standardized shipping mark, for marking on packages and for reproduction in documents. It also aims at establishing rules for the use of information marks, although these are not part of this Recommendation.

III. Field of application

7. The Standard Shipping Mark established in this Recommendation should be used for marking on packages moved internationally by all modes of transport, for reproduction in related documents, and as data elements in trade data interchange.

IV. References

8. The following documents have been taken into account in the preparation of the present Recommendation:

UN/ECE Working Party on Facilitation of International Trade Procedures, Recommendation No. 1, "ECE Layout Key for Trade Documents" (now referred to as the United Nations Layout Key for Trade Documents), ME/TTD/73/D1.

UN/ECE Working Party on Facilitation of International Trade Procedures, Recommendation No. 8, "Common Access Reference", TRADE/WP.4/INF.50:TD/B/FAL/INF.50.

International Trade Centre (ITC) (a joint UNCTAD/GATT organ), "Reference Document on International Standardization of Selected Products, Packaging and Labelling", ITC/DFO/INF/78/Rev.2.

International Air Transport Association (IATA), Resolution 606, "Cargo Identification Forms".

International Cargo Handling Co-ordination Association (ICH-CA), "Recommendations for the Marking of General Cargo".

V. Standardized marks

The Standard Shipping Mark

9. This Recommendation establishes a Standard Shipping Mark and sets out information marks.

10. The Standard Shipping Mark is made up of the following four elements in the sequence indicated and should be shown both on packages and documents.

	<i>Example</i>
(1) Initials or abbreviated name	ABC
(2) Reference number	1234
(3) Destination	BOMBAY
(4) Package number	1/25

Any of the four elements which is considered unnecessary for a shipment may be omitted. Section VI below gives some examples of further simplified marks.

(1) ***Initials or abbreviated name of consignee or buyer:*** name/address should not be shown in full except for rail transport, where the CIM Convention requires full address on all packages; this is conventional practice also for road transport. Note: exporters and importers could usefully agree on a set of initials/abbreviations to be used for all shipments between them. If an abbreviated name is preferred to initials, the consignees'/buyers' name, as abbreviated in their telex answerback or cable address, could be used.

(2) **Reference number:** should be as brief as possible to avoid confusion and mistranscription. Only the most important number of those available, e.g. shipment *or* order *or* invoice number as agreed between seller and buyer, should be shown. Such information as “Order No.” and the year and date accompanying numbers should be avoided.

(3) **Destination:** The name of the port or place of ultimate destination of the goods (port of discharge, place of delivery, place of delivery by on-carrier) should always be shown.

In case of trans-shipment during the transport, also the name of the port or place of trans-shipment can be indicated, preceded by VIA, e.g. NEW DELHI VIA BOMBAY.

However, in multimodal/combined transport only the ultimate destination of the goods should be shown; this will permit the transport operator to send the goods by the preferred route (e.g. via Adelaide rather than Sydney) and will avoid interruption of the transport at the place of trans-shipment (e.g. goods marked CANBERRA VIA SYDNEY could be held for clearance at Sydney).

Example: ABC
 1234
 CANBERRA
 1/25

(4) **Package number.** The running number and, where known, the total number of packages or pieces should be indicated as, for example, 1/25, 2/25, and so on to 25/25. This is shown on documents as “1/25”, meaning “package number 1 of 25”. Such indications as “P/No.” need not be given.

Information Marks

11. Information Marks are not essential for delivery to destination; they are shown on packages (clearly separated from the Standard Shipping Mark), but do not form part of the shipping mark to be reproduced in documents.

12. The *Gross Weight*, shown in kilograms, should be marked whenever it assists safe handling or (as for airfreight) correct stowage. It should be marked below the Standard Shipping Mark but separated from it; example 462KG. Information such as “GROSS/BRUTTO WEIGHT” need not be shown.

13. Other details such as *Country of Origin* or *Import Licence No.* are sometimes required by government regulations or might facilitate Customs clearance. Details can also be included at the buyer’s request to facilitate sorting and redistribution of the goods. It is however not advisable to show the Sender’s name/address on packages if it increases the risk of pilferage. All such details should be well separated from the Standard Shipping Mark and be kept to an absolute minimum. They should be abbreviated as much as possible, for example IL GG22455 17067 2 instead of IMPORT LICENCE NUMBER. G/G22455-17067-2.

14. It is normally not necessary to show *Net Weight* and *Linear Dimensions* on packages (although this is done conventionally on certain goods such as chemicals in drums or on very large packages); national and international regulations should, to the extent possible, not make such details mandatory. When required they can be abbreviated as, for example, N401KG 105 x 90 x 62CM.

Special notes on Standardized Marks

15.1 Shipping marks must not exceed ten lines of 17 characters per line. This is the maximum for documents and computer systems established in accordance with internationally recommended standards.

15.2 Only characters which can be produced by typewriter and telex equipment or can be transmitted by electronic means should be used for the Standard Shipping Mark and Information Marks. These are the letters A to Z, the numerals 0 to 9, the space character and the following graphic characters: full stop [.), hyphen or minus [-], parenthesis [()], oblique stroke or slant [/] and comma [,]. Certain other graphic characters may be used as control characters within the UN/ECE trade data interchange syntax rules and should be avoided in shipping marks; they are the following: plus [+], colon [:], apostrophe ['], equals sign [=], question mark [?] and asterisk [*].

15.3 Geometric or other figures (e.g. diamonds, triangles, squares,) should not be used for the Standard Shipping Mark or Information Marks.

15.4 Where the Standard Mark is required in more than one alphabet or language (e.g. Cyrillic, Arabic, Chinese), at least one mark should be shown in the Roman alphabet. The other mark should be shown in brackets beside the first or on another side of the package (marks are shown on two sides of the individual packages of the shipment – see section VII). Only the mark in the Roman alphabet should be reproduced in documents. (These rules will not apply to Standard Shipping Marks shown on goods moving between countries where the Roman alphabet is not used.)

15.5 Colour coding – such as the marking of green stripes or crosses – should be avoided whenever possible, and no reference in documents to such coding should be required.

VI. Simplified marking for different modes of transport

16. The Standard Shipping Mark can be simplified further for some modes of transport whereas Cargo Handling Marks – especially danger marks – must be shown in full.

Loose general cargo in all modes of transport should be fully marked in accordance with section V.

Groupage cargo. Even if the groupage cargo makes the greater part of its journey in a container or a TIR trailer, handling at various groupage depots is necessary and individual parts of the shipment should be fully marked in accordance with section V. If a full container or trailer consigned by one shipper is broken down during transit for split deliveries, all parts should likewise be fully marked.

Full loads (i.e. full container loads (FCL), trailers, wagons or airline ULDs containing goods sent from one shipper to one consignee): the Standard Shipping Mark can be simplified as follows:

a. if the load is covered by a single set of documents and if packaging and contents are identical in every way – size, type, grade (for example, 50-kg bags of rolled oats or refined sugar), the Standard Shipping Mark should not be at all necessary;

- b. if the load is covered by more than one set of documents (e.g. two sets of invoices for accounting purposes) or comprises packages whose contents differ, only items 2 and 4 of the Standard Shipping Mark (Reference No. and Package No.) should be necessary to check goods against documents and for identification of the goods by Customs or consignee.

Example: 1234
 1/25

17. In any event, it must be possible to cross-reference packages to a comprehensive packing list for Customs examination and for purposes of sorting and redistribution.

18. It should be noted that containers and trailers containing dangerous goods must bear on the outside the danger labels and other mandatory data such as correct technical name/proper shipping name of the contents. Similar rules apply to radioactive material.

Air freight, loose or consolidated cargo.

19. IATA Resolution 606 sets out the mandatory and optional content of shipping marks for air freight:

- a. The Standard Shipping Mark. The Air Waybill No., as a unique reference, replaces items 1 and 2 of the Standard Shipping Mark (Abbreviated Name and Reference Number); the three-letter IATA code can be used to shorten item 3 (Destination); item 4 remains unchanged.

Example: 015-12345675
 DEL
 1/25

- b. For consolidated (groupage) cargo, the House AWB No. can be shown at the end of the marks.

- c. Information Marks. IATA Regulations state that the gross weight may be shown below the shipping mark and the full consignee address must appear on at least one package.

Special notes on the Unique Identification Code methodology (UNIC)

20. Implementation by commerce, carriers and Governments of revised Recommendation No. 8 of the UN/ECE Working Party on Facilitation of International Trade Procedures, "Unique Identification Code methodology", could further simplify shipping marks while enhancing the possibilities of using automated procedures, including electronic trade data interchange.

21. The Unique Identification Code (UNIC) could be used to replace items 1 and 2 of the Standard Shipping Mark (Abbreviated Name and Reference Number) and link up with ADP systems in one or both countries.

Example: 16/128735258/B1928
 HELSINKI
 1/25

22. Eventually, if a comprehensive ADP system existed for control of goods movements and transmission of information, and was used by the countries and carriers concerned in a particular goods movement, it would be possible to replace the Standard Shipping Mark entirely (except for item 4 – Package Number) with the UNIC.

Example: 16/128735258/B1928
 1/25

23. An interesting comparison may be made with the ADP methods used by containership operators to control and trace cargoes worldwide by sole use of the container number, e.g. ABCU 2128835, and those used by airlines with the Air Waybill No., e.g. 015-12345675.

Bar coding

24. When bar coding shipping marks, the maximum number of characters that can be encoded depends on several factors, primarily: the bar code printing technique, reading equipment and symbology. For companies or organizations wishing to bar code the Standard Shipping Marks it is important that the appropriate symbology and reading equipment are chosen.

VII. Methods of marking

On documents

25. The United Nations Layout Key specifies a position for entering shipping marks, under the heading “Marks and Numbers”, in the following way:

Transport details		Terms of delivery and payment
Shipping marks; Container No.	Number and kind of packages; Goods description	
ABC	XXXXXXXXXXXXXXXXXXXX	
1234	XXXXXXXXXXXXXXXXXXXX	
BOMBAY	XXXXXXXXXXXXXXXXXXXX	
1/25	XXXXXXXXXXXXXXXXXXXX	

Only the Standard Shipping Mark should be shown and *buyers should ensure that documentation instructions (in particular those given in documentary credits) do not call for any additional details to be shown under “Marks and Numbers” other than the Standard Shipping Mark.* The “Special notes on standardized marks” under section V should also be considered in this respect.

On cargo

26. The keywords for cargo marking are: Big, Bold and Brief.

The Standard Shipping Mark

- a. should be marked centrally on two sides of the package or pallet load; loose cargo by conventional sea freight should be marked on the top also;
- b. should be in characters 5 cm high, but can be varied where necessary in proportion to the size of the package;
- c. should preferably be stencilled using black ink (or a colour contrasting with the background) which is waterproof, permanent and resistant to humidity and friction.

Note 1 – If a felt-tip is used, the ink must be waterproof and permanent, as indicated on the barrel of suitable pens. Writing should be large, clear and in capital letters.

Note 2 – Fluorescent colours might be considered. Red should only be used for dangerous cargo. Some colours might merge with the background under fluorescent, mercury or sodium vapour lighting.

Information Marks should be well separated from the Standard Shipping Mark and should be shown in smaller characters or in a different colour.

Special notes on methods of marking

27. Unpacked items, e.g. ironwork, should be marked with a metal tag, securely wired. Tie-on tags can be used for personal effects. Tags and tie-on labels should otherwise be avoided.

Bales should be marked on both sides.

Bags and sacks should be marked on both sides with a marking fluid which impregnates the material. Where contents can sift through a material, such as Hessian, marking should be done before filling.

Drums should be marked on the head (top) and side; the size of the characters on the head may be reduced because of the small area available for marking.

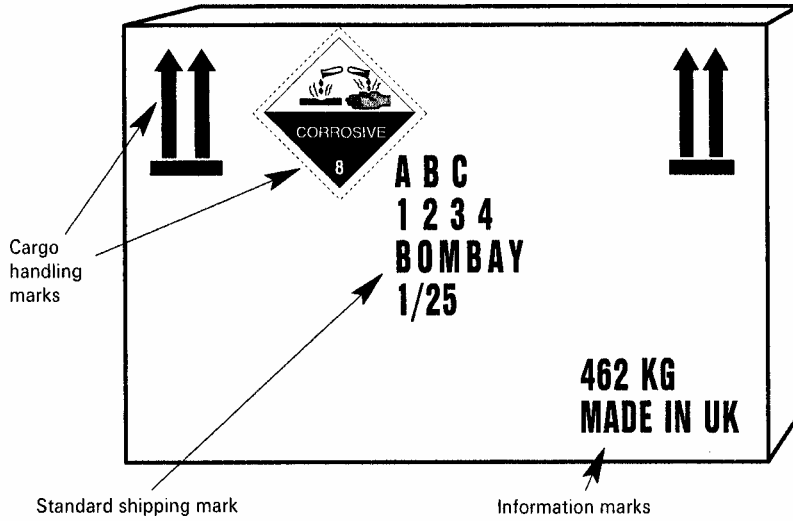
Carboys should be marked with self-adhesive labels on two opposite sides.

Areas which will be covered by straps or bands should not be marked.

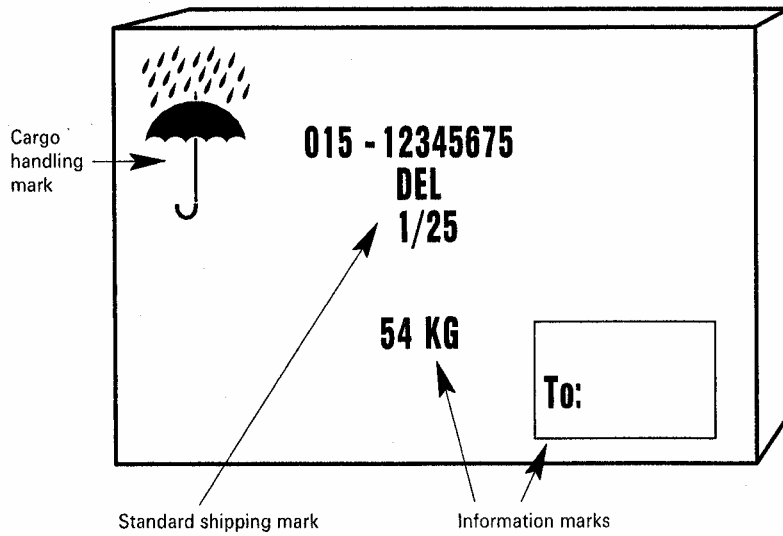
Old marks should be completely obliterated.

Annex

Sea Freight



Air Freight



APPENDIX 7

[To be issued in due course]
