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**INTERNATIONAL CONVENTION FOR THE CONTROL
AND MANAGEMENT OF SHIPS' BALLAST WATER
AND SEDIMENTS, 2004**

**Interim Survey Guidelines for the purpose of the International Convention for the
Control and Management of Ships' Ballast Water and Sediments under
the Harmonized System of Survey and Certification (resolution A.948(23))**

1 The Sub-Committee on Flag State Implementation, at its fourteenth session (5 to 9 June 2006), completed the work on the Interim Survey Guidelines for the purpose of the International Convention for the Control and Management of Ships' Ballast Water and Sediments (BWM Convention) under the Harmonized System of Survey and Certification (resolution A.948(23)) in accordance with regulation E-1 of the BWM Convention and invited the Marine Environment Protection Committee to consider these Guidelines and take action as appropriate.

2 Recognizing that only survey requirements of instruments that are in force may be integrated in Assembly resolution A.948(23), FSI 14 also agreed to keep these Guidelines in abeyance until the BWM Convention enters into force. Notwithstanding the above, FSI 14 was of the view that it would be beneficial to circulate these Guidelines to the interested parties for information in the interim period prior to the entry into force of the BWM Convention.

3 The Marine Environment Protection Committee, at its fifty-fifth session (9-13 October, 2006), endorsed the view of FSI Sub-Committee and approved these Guidelines in principle for dissemination through this circular. The Guidelines will facilitate the survey of ships which are requested by their Administrations or shipowners to certify compliance with the provisions of the BWM Convention on a voluntary basis.

4 Member Governments are invited to bring this circular to the attention of all parties concerned and, in particular, national authorities or recognized organizations in charge of ship survey and certification.

ANNEX

INTERIM SURVEY GUIDELINES UNDER THE HARMONIZED SYSTEM OF SURVEY AND CERTIFICATION (RESOLUTION A.948(23)) FOR THE PURPOSE OF THE INTERNATIONAL CONVENTION FOR THE CONTROL AND MANAGEMENT OF SHIPS' BALLAST WATER AND SEDIMENTS

(All references are to the English text)

1 “Contents”

1.1 The following new section 5 is added:

“ANNEX 5

SURVEY GUIDELINES UNDER THE CONVENTION FOR THE CONTROL AND MANAGEMENT OF SHIPS' BALLAST WATER AND SEDIMENTS

- (B) 1 GUIDELINES FOR SURVEYS FOR THE INTERNATIONAL BALLAST WATER MANAGEMENT CERTIFICATE
- (BI) 1.1 Initial surveys
- (BA) 1.2 Annual surveys
- (BIn) 1.3 Intermediate surveys
- (BR) 1.4 Renewal surveys”

2 Section “GENERAL”

2.1 Insert new subparagraph .7 after existing subparagraph 1.1.6:

“.7 International Convention for Control and Management of Ships' Ballast Water and Sediments” (Ballast Water Management Convention)

2.2 Insert new subparagraph .5 after existing subparagraph 1.2.4:

“1.2.5 Survey Guidelines under the Convention for Control and Management of Ships' Ballast Water and Sediments (annex 5)”

2.3 In subparagraph 2.8.1, a new line is added after “BCH Code 85/90, regulation .6.2.1.1”, as follows:

“Ballast Water Management Convention regulation E-1.1.1”.

2.4 In subparagraph 2.8.3, a new line is added after “BCH Code 85/90, regulation .6.2.1.2”, as follows:

“Ballast Water Management Convention regulation E-1.1.2”.

- 2.5 In subparagraph 2.8.4, a new line is added after “BCH Code 85/90, regulation .6.2.1.3”, as follows:
“Ballast Water Management Convention regulation E-1.1.3”.
- 2.6 In subparagraph 2.8.5, a new line is added after “BCH Code 85/90, regulation 1.6.2.1.4”, as follows:
“Ballast Water Management Convention regulation E-1.1.4”.
- 2.7 In subparagraph 3.8, after the existing text “(P) for the Passenger Ship Safety Certificate;” add the following new line:
“(B) for the International Ballast Water Management Certificate;”
- 2.8 In subparagraph 4.8.1, sixth line, after “and the BCH Code 85/90 regulation 1.6.1.3” add the following text: “, or in the case of the Ballast Water Management Convention the survey shows that the ship’s Ballast Water Management does not conform to the particulars of the Certificate required under regulations E-2 or E-3, or is such that the ship is not fit to proceed to sea without presenting a threat of harm to the environment, human health, property or resources, the surveyor should be guided by regulation E-1.6.”
- 2.9 In paragraph 5.2:
- .1 in the references, third line, replace with a comma (“,”) the word “and” between “regulation 1.5.6.3” and “the BCH Code”; replace the full stop at the end of the sentence with a comma; and add the following text at the end of the line “and the Ballast Water Management Convention regulations E-5.5 and E-5.6.”
 - .2 in the second paragraph, 13th line from the top, replace with a comma (“,”) the word “and” between “1.5.6.6” and “the BCH Code”; and after “regulations 1.6.6.5 and 1.6.6.6” add the following text: “and the Ballast Water Convention regulation E-5.2.2.”
 - .3 in the second paragraph, last line, replace with a comma (“,”) the word “and” between “regulation 1.5.6.2.2” and “the BCH Code”; and add the following text at the end of the line: “and the Ballast Water Management Convention regulation E-5.3.”
- 2.10 In paragraph 5.4 in the references, last line, replace with a comma (“,”) the word “and” between “regulation 1.5.6.6” and “the BCH Code”; and add the following text at the end of the line “and the Ballast Water Management Convention regulation E-5.3.”
- 2.11 In paragraph 5.5 in the references, last line, replace with a comma (“,”) the word “and” between “regulation 1.5.6.7” and “the BCH Code”; and add the following text at the end of the line “and the Ballast Water Management Convention regulation E-5.7.”

3 Annex 1 “SURVEY GUIDELINES UNDER THE 1974 SOLAS CONVENTION, AS MODIFIED BY THE 1988 PROTOCOL RELATING THERETO”

3.1 The following new subparagraph *.8ter* is added after existing paragraph 1.2.1.8*bis*:

“(EA) *.8ter* checking, when appropriate, the validity of the International Ballast Water Management Certificate;”

3.2 The following new subparagraph *.8ter* is added after existing paragraph 2.2.1.8*bis*:

“(CA) *.8ter* checking, when appropriate, the validity of the International Ballast Water Management Certificate;”

3.3 The following new subparagraph *.8ter* is added after existing paragraph 4.2.1.8*bis*:

“(RP) *.8ter* checking, when appropriate, the validity of the International Ballast Water Management Certificate;”

3.4 The following new subparagraph *.5ter* is added after existing paragraph 5.2.1.5*bis*:

“(PR) *.5ter* checking, when appropriate, the validity of the International Ballast Water Management Certificate;”

4 Annex 2 “SURVEY GUIDELINES UNDER THE 1966 LOAD LINE CONVENTION, AS MODIFIED BY THE 1988 PROTOCOL RELATING THERETO”

4.1 The following new subparagraph *.8ter* is added after existing paragraph 1.2.1.8*bis*:

“(LA) *.8ter* checking, when appropriate, the validity of the International Ballast Water Management Certificate;”

5 Annex 3 “SURVEY GUIDELINES UNDER THE 1973/78 MARPOL CONVENTION”

5.1 The following new subparagraph *.8bis* is added after existing paragraph 1.2.1.8:

“(OA) *.8bis* checking, when appropriate, the validity of the International Ballast Water Management Certificate;”

6 Annex 4 “SURVEY GUIDELINES UNDER THE MANDATORY CODES”

6.1 The following new subparagraph *.6ter* is added after existing paragraph 1.2.1.6*bis*:

“(DA) *.6ter* checking, when appropriate, the validity of the International Ballast Water Management Certificate;”

6.2 The following new subparagraph *.6ter* is added after existing paragraph 2.2.1.6*bis*:

“(GA) *.6ter* checking, when appropriate, the validity of the International Ballast Water Management Certificate;”

7 New Annex 5

- 7.1 Insert new Annex 5, starting with a new page following the last entry of Annex 4 ((GR) 2.4.3.1):

“ANNEX 5

**SURVEY GUIDELINES UNDER THE 2004 INTERNATIONAL CONVENTION
FOR THE CONTROL AND MANAGEMENT OF SHIPS’ BALLAST WATER
AND SEDIMENTS**

**(B) 1 GUIDELINES FOR SURVEYS FOR THE INTERNATIONAL BALLAST WATER
MANAGEMENT CERTIFICATE**

- (BI) **1.1 Initial surveys** – see part “General” section 2.1
- (BI) 1.1.1 For the Control and Management of Ships Ballast Water Sediments the examination of plans and designs should consist of:
- (BI) .1 examining the design and construction (regulation B-5);
 - (BI) .2 examining the ballast water management plan (regulation B-1);
 - (BI) .3 examination of plans for the installation of ballast water management systems (regulation D-3 / note, this survey requirement is relevant only when the performance standard according to regulation D-2 is applicable);
 - (BI) .4 if applicable, examination of plans for the installation of prototype ballast water treatment technologies (regulation D-4).
- (BI) 1.1.2 For Control and Management of Ships Ballast Water Sediments the survey during construction and after installation should consist of:
- (BI) .1 confirming that the Ballast Water Management Plan has been provided (regulation B-1);
 - (BI) .2 confirming that the Ballast Water Record Book has been provided (regulation B-2);
 - (BI) .3 confirming that certificate(s) for type approval of ballast water management system(s) are available (regulation D-3 / note, this survey requirement is relevant only when the performance standard according to regulation D-2 is applicable);
 - (BI) .4 confirming that a statement has been provided by the Administration, or from a laboratory authorized by the Administration, confirming that the electrical and electronic components of the ballast water management system(s) have been type-tested in accordance with the specifications for environmental testing contained in Part 3 of the Annex of the Guidelines for Approval of Ballast Water Management Systems (G8) (regulation D-3 / note, this survey requirement is relevant only when the performance standard according to regulation D-2 is applicable);

- (BI) .5 confirming that equipment manuals for major components of the ballast water management system(s) have been provided (regulation D-3 / note, this survey requirement is relevant only when the performance standard according to regulation D-2 is applicable);
- (BI) .6 confirming that an operations and technical manual for the ballast water management system(s) specific to the ship and approved by the Administration, containing a technical description of the ballast water management system(s), operational and maintenance procedures, and backup procedures in case of equipment malfunction has been provided (regulation D-3 / note, this survey requirement is relevant only when the performance standard according to regulation D-2 is applicable);
- (BI) .7 confirming that installation specifications for the ballast water management system(s) have been provided (regulation D-3 / note, this survey requirement is relevant only when the performance standard according to regulation D-2 is applicable);
- (BI) .8 confirming that installation commissioning procedures for the ballast water management system(s) have been provided (regulation D-3 / note, this survey requirement is relevant only when the performance standard according to regulation D-2 is applicable);
- (BI) .9 confirming that initial calibration procedures of the ballast water management system(s) have been provided (regulation D-3 / note, this survey requirement is relevant only when the performance standard according to regulation D-2 is applicable);
- (BI) .10 confirming that sampling facilities are provided and so arranged in order to collect representative samples of the ship's ballast water from the ballast water management system(s) intake(s) before the ballast discharge points and any other points necessary for sampling (regulation D-3 / note, this survey requirement is relevant only when the performance standard according to regulation D-2 is applicable);
- (BI) .11 verifying that the BWMS installation has been carried out in accordance with the technical installation specification (note, this survey requirement is relevant only when the performance standard according to regulation D-2 is applicable);
- (BI) .12 verifying that the BWMS is in conformity with the Type Approval Certificate of BWMS issued by the Administration or its representative (note, this survey requirement is relevant only when the performance standard according to regulation D-2 is applicable);
- (BI) .13 verifying that the installation of the complete BWMS has been carried out in accordance with the manufacturer's equipment specification (note, this survey requirement is relevant only when the performance standard according to regulation D-2 is applicable);

- (BI) .14 verifying that any operational inlets and outlets are located in the positions indicated on the drawings of the pumping and piping arrangements (note, this survey requirement is relevant only when the performance standard according to regulation D-2 is applicable);
- (BI) .15 verifying that the workmanship of the installation is satisfactory and, in particular, that any bulkhead penetrations or penetrations of the ballast system piping are to the relevant approved standards (note, this survey requirement is relevant only when the performance standard according to regulation D-2 is applicable);
- (BI) .16 verifying that the Control and Monitoring Equipment operates correctly; (note, this survey requirement is relevant only when the performance standard according to regulation D-2 is applicable);
- (BI) .17 confirming that if applicable the ballast water management recording device(s) are operable and that there is a sufficient supply of consumables for the recording device(s) on board (regulation D-3 / note, this survey requirement is relevant only when the performance standard according to regulation D-2 is applicable);
- (BI) .18 confirming the satisfactory installation and operation of the ballast water management system, including any audible or visual alarms (regulation D-3 / note, this survey requirement is relevant only when the performance standard according to regulation D-2 is applicable);
- (BI) .19 confirming that, if applicable, sufficient active substances are provided on board (regulation D-3 / note, this survey requirement is relevant only when the performance standard according to regulation D-2 is applicable);
- (BI) .20 confirming that, if applicable, dosage instruction for active substances or preparations are available on board (regulation D-3 / note, this survey requirement is relevant only when the performance standard according to regulation D-2 is applicable);
- (BI) .21 verifying that, if applicable, the prototype ballast water treatment technology installation has been carried out in accordance with the approved Programme and that the workmanship of the installation is satisfactory (regulation D-4);
- (BI) .22 confirming that, if applicable, a Statement of Compliance for a Prototype Ballast Water Treatment Technology has been provided (regulation D-4);
- (BI) 1.1.3 For the Control and Management of Ships Ballast Water Sediments the completion of initial survey should consist of:
 - (BI) .1 after satisfactory survey, the International Ballast Water Management Certificate should be issued.

- (BA) **1.2 Annual surveys** – see part “General” section 2.5
- (BA) 1.2.1 For the Control and Management of Ships Ballast Water and Sediments the examination of current certificates and other records should consist of:
- (BA) .1 checking the validity, as appropriate, of the Cargo Ship Safety Equipment Certificate, the Cargo Ship Safety Radio Certificate and the Cargo Ship Safety Construction Certificate or the Cargo Ship Safety Certificate or Passenger Ship Safety Certificate;
 - (BA) .2 checking the validity of the International Load Line Certificate or International Load Line Exemption Certificate;
 - (BA) .3 checking the validity of the International Oil Pollution Prevention Certificate, International Sewage Pollution Prevention Certificate, and International Air Pollution Prevention Certificate;
 - (BA) .4 checking the validity of the International Ship Security Certificate;
 - (BA) .4bis checking, when appropriate, the validity of the Safety Management Certificate (SMC) and that a copy of the Document of Compliance (DOC) is on board;
 - (BA) .5 checking the certificates of class, if the ship is classed with a classification society;
 - (BA) .6 checking, when appropriate, the validity of the International Certificate of Fitness for the Carriage of Liquefied Gases in Bulk;
 - (BA) .7 checking when appropriate the validity of the International Pollution Prevention Certificate for the Carriage of Noxious Liquid Substances in Bulk;
 - (BA) .7bis checking, when appropriate, the validity of the International Sewage Pollution Prevention Certificate;
 - (BA) .8 checking that the ship’s complement complies with the Minimum Safe Manning Document (SOLAS 74/88 regulation V/13(b));
 - (BA) .9 checking that the master, officers and ratings are certificated as required by the STCW Convention;
 - (BA) .10 checking whether any new equipment has been fitted and, if so, confirm that it has been approved before installation and that any changes are reflected in the certificate;
 - (BA) .11 confirming that the Ballast Water Management Plan is on board (regulation. B-1);
 - (BA) .12 checking whether the appropriate entries have been made in the Ballast Record Book (regulation B-2);

- (BA) .13 sighting the type test certificate(s) for the ballast water management system(s) (regulation D-3 / note, this survey requirement is relevant only when the performance standard according to regulation D-2 is applicable);
 - (BA) .14 sighting the records of the recording device, if fitted (regulation D-3 / note, this survey requirement is relevant only when the performance standard according to regulation D-2 is applicable);
 - (BA) .15 sighting, if applicable, the Statement of Compliance for a Prototype Ballast Water Treatment Technology (regulation D-4);
 - (BA) .16 verifying, if applicable, that there is evidence that the Prototype Ballast Water Treatment Technology is continuing to be operated in accordance with the approved programme (regulation D-4).
- (BA) 1.2.2 For the Control and Management of Ships Ballast Water Sediments the annual survey should consist of:
- (BA) .1 examining externally the ballast water treatment system and confirming, as far as practicable its satisfactory operation (regulation D-3 / note, this survey requirement is relevant only when the performance standard according to regulation D-2 is applicable);
 - (BA) .2 confirming that, if applicable, active substances in accordance with the manufacturer's recommendations are provided on board (regulation D-3 / note, this survey requirement is relevant only when the performance standard according to regulation D-2 is applicable);
 - (BA) .3 confirming that, if applicable, dosage instruction for active substance or preparations are available on board (regulation D-3 / note, this survey requirement is relevant only when the performance standard according to regulation D-2 is applicable);
 - (BA) .4 where applicable examining externally the prototype ballast water treatment technology and confirming, as far as practicable its satisfactory operation (regulation D-4);
- (BA) 1.2.3 For the Control and Management of Ships Ballast Water Sediments the completion of annual survey should consist of:
- (BA) .1 after satisfactory survey, the International Ballast Water Management Certificate should be endorsed;
 - (BA) .2 if a survey shows that the condition of a ship or its equipment is unsatisfactory; see part "General" section 4.8.

- (BIn) **1.3 Intermediate surveys** – see part “General” section 2.4
- (BIn) 1.3.1 For the Control and Management of Ships Ballast Water Sediments the examination of current certificates and other records should consist of:
- (BIn) .1 the provisions of (BA) 1.2.1.
- (BIn) 1.3.2 For the Control and Management of Ships Ballast Water Sediments the intermediate survey should consist of:
- (BIn) .1 the provisions of (BA) 1.2.2;
- (BIn) .2 examining the ballast water management system for obvious defects, deterioration or damage including examining associated pumps, piping and fittings for wear and corrosion (regulations D-3 and D-4 / note, this survey requirement is relevant only when the performance standard according to regulation D-2 is applicable);
- (BIn) 1.3.3 For the Control and Management of Ships Ballast Water Sediments the completion of intermediate survey should consist of:
- (BIn) .1 after satisfactory survey, the International Ballast Water Management Certificate should be endorsed;
- (BIn) .2 if a survey shows that the condition of a ship or its equipment is unsatisfactory, see part “General” section 4.8.
- (BR) **1.4 Renewal surveys** – see part “General” section 2.3
- (BR) 1.4.1 For the Control and Management of Ships Ballast Water Sediments the examination of current certificates and other records should consist of:
- (BR) .1 the provisions of (BA) 1.2.1, except for the validity of the International Ballast Water Management Certificate.
- (BR) 1.4.2 For the Control and Management of Ships Ballast Water Sediments the renewal survey should consist of:
- (BR) .1 the provisions of (BIn) 1.3.2;
- (BR) .2 if applicable, confirming, if necessary by simulated test or equivalent, the satisfactory operation of the ballast water management systems (regulation. D-4).
- (BR) 1.4.3 For the Control and Management of Ships Ballast Water Sediments the completion of renewal survey should consist of:
- (BR) .1 after satisfactory survey, the International Ballast Water Management Certificate should be issued.”

8 Appendix

8.1 Insert new line showing the diagrammatic arrangement of surveys and certification for Ballast Water Management Convention in the Appendix:

Appendix

**THE HARMONIZED SYSTEM OF SURVEY AND CERTIFICATION
DIAGRAMMATIC ARRANGEMENT**

