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MSC/Circ.1089  
6 June 2003

**GUIDANCE ON RECOMMENDED ANTI-FRAUD MEASURES AND FORGERY  
PREVENTION FEATURES FOR SEAFARERS' CERTIFICATES**

1 The Sub-Committee on Standards of Training and Watchkeeping, at its thirty-fourth session (24 to 28 February 2003), recalled its consideration at its previous session of preventative measures aimed at combating unlawful practices associated with certificates of competency and the list of high priority actions that had been identified. In order to promote such preventative measures, the Sub-Committee developed guidance on recommended anti-fraud measures and forgery prevention features for seafarers' certificates, as given at annex.

2 The Maritime Safety Committee at its seventy-seventh session (28 May to 6 June 2003) subsequently endorsed the guidance developed by the STW Sub-Committee and approved this circular.

3 The Maritime Safety Committee has also adopted MSC/Circ.1090 which provides guidance relating to various unlawful practices, which have been detected, in connection with certificates of competency. MSC/Circ.1090 provides a further useful source of information which may be used in the efforts to address attempts of fraud or forgery.

4 The Organization will continue its efforts to address the issues of fraud or forgery in this area. In this respect it would be beneficial if Member Governments reported to the Organization details of the various forms of fraud or forgery they may detect so as to enable the Organization to identify new or emerging trends or patterns.

5 Member Governments are invited to bring this circular to the attention of all concerned.

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## ANNEX

**GUIDANCE ON ANTI-FRAUD MEASURES AND FORGERY  
PREVENTION FOR SEAFARERS' CERTIFICATES****1 Introduction**

1.1 Although a number of Member Governments have adopted, over the years, various features, measures or procedures for the purpose of preventing fraud, tampering with or forgery of certificates issued by them, a study<sup>1</sup>, recently undertaken by the Organization, has indicated that fraudulent or forged certificates continue to appear.

1.2 The aim of this guidance is to provide, on the basis of the findings of the aforesaid study, information on the various anti-fraud and anti-forgery measures and procedures a Member Government may adopt.

1.3 This guidance recognizes that a number of Member Governments have in place measures or procedures addressing the issue of fraud and forgery. It is up to each Member Government to decide how to make use of the guidance provided in this circular or at which stage it will revise existing or introduce new measures or procedures in this respect. However, in view of the possibility that various forms of fraud may have been involved in the issue of certificates, in the past, and that this may, unintentionally, have not been detected, Member Governments should consider how this aspect should be addressed in connection with any certificates which have been issued by them in the past.

1.4 This guidance does not suggest that certificates, already issued to seafarers, should be withdrawn or reissued. Nevertheless, in case a Member Government decides to revise its existing measures or procedures or to introduce new ones, it is advisable to maintain appropriate records through which it will be possible to easily identify the arrangements which were applied when a specific certificate was issued.

**2 Use of modern technology**

2.1 During the recent years the word processing and printing technologies have rapidly advanced and nowadays offer a considerable number of options when it comes to features which aim at preventing fraud or protecting documents from tampering. As a result of the technological advancements, the relative costs of these features have considerably decreased and any document may include more than one feature. The most common features, widely available nowadays, include *inter alia* the following:

- .1 the use of special inks;
- .2 the use of gradient colours;
- .3 the use of special security paper or of paper containing watermarks visible when the document is held at an angle against the light;
- .4 the use of fluorescent ink visible with ultraviolet light;
- .5 the use of digitized photographs and/or signatures;
- .6 the use of smart chips or bar codes;

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<sup>1</sup> Refer to "Unlawful Practices Associated with Certificates of Competency", a study undertaken by the Seafarers' International Research Centre (SIRC), Cardiff University and presented to STW 33.

- .7 special thermal coverage of the seafarer's photograph;
- .8 the use of heat sealed laminates; and
- .9 the use of features, such as redundant data, which are carried over in digital images or other copies.

2.2 Member Governments should make, and encourage, the use of modern technology features to prevent fraud and to protect the integrity of certificates. The use of modern technologies makes replication of the certificates extremely difficult and attempts to alter data easily detectable.

2.3 Member Governments, when considering the use of smart chips or bar codes or other similar features, should carefully consider the type and nature of the data to be included in such features bearing in mind the need to protect, and to ensure the confidentiality of, the personal information of each seafarer.

### **3 Structured anti-fraud and anti-forgery policies and procedures**

3.1 In compliance with regulation I/8 of the STCW Convention, 1978, as amended, and section A-I/8 of the STCW Code, Parties should develop and implement appropriate structured anti-fraud and forgery prevention policies and procedures, which may include various measures as follows:

- .1 policy objectives;
- .2 features to be included in each certificate;
- .3 procedures to control the printing, storage, handling and distribution of blank certificates;
- .4 procedures to be followed when issuing certificates;
- .5 procedures for handling (or condemning) defective or damaged blank certificates or certificates which have been identified as containing errors after they have been prepared for issue;
- .6 procedures for maintaining and updating records of certificates issued;
- .7 procedures for the issue of certificates to replace the ones which are lost or damaged;
- .8 procedures or measures to prevent unauthorized access to databases containing information relating to certificates and related records;
- .9 procedures for internal auditing;
- .10 procedures for investigating alleged frauds or forgeries; and
- .11 procedures for periodic review of the measures and procedures in place.

3.2 When developing structured policies and procedures the competent authorities may benefit from the knowledge and experience of other Government services which are engaged in the issue of documents (e.g. passports, identification documents, driving licences, etc.) which require protection from fraud or forgery.

3.3 Member Governments should identify which of the measures and procedures (e.g. features of certificates, controlling or handling blank certificates, conduct of unscheduled internal audits) implemented by them need to be protected from unauthorized access or disclosure so as not to compromise the overall objectives.

3.4 When considering or developing new, or revising existing, relevant policies, procedures or measures, Member Governments should bear in mind, the need to protect, and the need to ensure the confidentiality of, the personal information of each seafarer.

#### **4 Ancillary Certificates**

4 Ancillary certificates (i.e. those certificates issued under the provisions of STCW chapters V and VI) do not always contain the same level of counter-forgery protection as certificates of competency.

4.1 Member Governments should:

- .1 consider developing standardized formats for ancillary certificates issued by the Administration to seafarers after they have successfully passed training courses at maritime training establishments;
- .2 consider and determine the features and the protective measures to be included in ancillary certificates so as to make forgery difficult and enable the easy detection of tampering;
- .3 consider and determine which of the ancillary certificates, issued by them, should include the photograph of the seafarer; and
- .4 consider establishing appropriate procedures through which the issue of such certificates will be monitored and controlled.

#### **5 Maritime Training Providers**

5.1 Member Governments should, bearing in mind this Guidance, consider, establishing procedures to be applied (or guidelines to be followed) by maritime training providers when they are authorized to issue certificates on the basis of the various programmes they offer.

5.2 In addition, Member Governments should consider establishing the measures or procedures they will apply for the purposes of either regular monitoring the issue of certificates by such maritime training providers or for responding to requests for verification of the authenticity of such certificates.

#### **6 Reporting alleged frauds or forgeries**

6.1 Member Governments should establish and widely disseminate the contact points to which alleged frauds or forgeries are to be reported (e.g. seafarers, maritime training providers, Companies, masters, manning agents and other Governments), as well as information on the documents which should be submitted to them for investigating such cases.

#### **7 Penalties and disciplinary measures**

7.1 Member Governments should establish an appropriate administrative and legal framework through which alleged frauds or forgeries will be investigated and, in case the allegations are confirmed, for imposing appropriate severe penalties and/or taking disciplinary measures against

seafarers holding fraudulent or forged certificates, or for imposing appropriate penalties against the Companies<sup>2</sup> who knowingly employ them.

## **8 Effective communications**

8.1 In order to facilitate the timely detection of fraudulent or forged certificates, Member Governments should establish effective communications with Governments recognizing their certificates and Governments whose certificates they recognize.

8.2 In this respect Member Governments should also endeavour to provide prompt responses to requests for verification of the authenticity of certificates and responses to any subsequent requests for clarifications, in a timely manner.

8.3 Member Governments should consider, in order to facilitate the verification or authentication of certificates issued by them, which of the features of their certificates could be shared, in a secure manner, with other Member Governments.

## **9 Actions during port State control inspections**

9.1 Member Governments should consider establishing appropriate procedures through which, certificates that have been identified following consultations with the issuing authority, as fraudulent, forged or tampered with, are seized and removed from the ship. In such cases, if the certificates in question are removed from the ship, these should be handled by the port State in consultation with the Member Government identified on the certificate and with the State whose flag the ship flies.

## **10 Actions when examining applications for the issue of endorsements of recognition**

10.1 Member Governments should consider establishing appropriate procedures, to be applied when examining applications for the issue of endorsements of recognition, through which, certificates, that have been identified following consultations with the issuing authority as fraudulent, forged or tampered with, are seized. In such cases, the arrangements regarding the seizure and the handling of such certificates should be discussed between the Governments concerned.

## **11 Research**

11.1 Systematic research into records would identify fraud or forgery patterns and would enable Member Governments to establish and implement appropriate effective preventive and pro-active measures and to monitor the effectiveness of those in use.

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<sup>2</sup> As defined in regulation I/1.23 of the STCW Convention, 1978, as amended.



COMDTPUB 16700.4  
NVIC 6 00  
3 AUGUST 2000

NAVIGATION AND VESSEL INSPECTION CIRCULAR NO. 6 00

Subj: ISSUANCE OF INTERNATIONAL FORMS REQUIRED BY THE STCW TO  
VALIDATE MERCHANT MARINER LICENSES AND DOCUMENTS

1. PURPOSE. This Circular publishes the Coast Guard's policy for issuance of the international endorsements prescribed by the International Convention on Standards of Training, Certification and Watchkeeping for Seafarers (STCW). It includes provisions for endorsements issued under both the 1978 Convention (STCW-78) and the 1995 amendments (STCW-95).
2. ACTION.
  - a. Commanding officers of units with a Regional Examination Center (REC) attached should ensure that vessel operators, owners, maritime unions, and other maritime interests are aware of this NVIC. This NVIC is available on the World Wide Web at <http://www.uscg.mil/hq/g-m/nmc/nvic/>.
  - b. Maritime labor organizations, shipping companies and professional organizations of mariners are requested to publicize the information contained in this NVIC.
  - c. For vessels subject to the STCW on voyages seaward of the boundary line:
    - (1) Masters of inspected vessels (1) of more than 100 GRT inspected as passenger vessels, (2) of 200 or more GRT inspected as other than passenger vessels, and (3) of any tonnage on international voyages should ensure that all eligible personnel who are required by the manning section of the Certificate of Inspection have the STCW form. This should prevent the vessel from being detained by a port-state by reason of improperly documented personnel;

DISTRIBUTION - SDL No. 138

	a	b	c	d	e	f	g	h	i	j	k	l	m	n	o	p	q	r	s	t	u	v	w	x	y	z
A																										2
B	*	8	10		1		1	1																		1
C					5*						2		6	*	2											
D											1	*														
E														2	2											
F			1																							
G																										
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NON-STANDARD DISTRIBUTION: (See page 4)

- (2) Masters of uninspected vessels on international voyages should ensure each crew member employed in a watchkeeping position required by the manning regulations possesses the STCW form.
  - (3) Masters of inspected vessels not included in paragraph 2.c.(1) and masters or operators of uninspected vessels not included in paragraph 2.c.(2) should ensure that each watchstanding officer has either the appropriate STCW form or STCW endorsement on his/her license.
3. DIRECTIVES AFFECTED. This Navigation and Vessel Inspection Circular (NVIC) updates the information contained in NVIC 8-97. NVIC 8-97 is superseded and cancelled.

4. BACKGROUND.

- a. The parties (governments) ratifying the STCW-78 Convention agreed to mandatory standards for the training, qualification, and certification of mariners. The United States became a party on October 1, 1991 and had five years in which to implement the STCW. The domestic regulations require that an internationally recognized standard form be used for certain mariners' credentials. The Coast Guard began to issue that form in 1996.
- b. While the STCW was a dramatic, international attempt to improve maritime safety by improving the qualifications of mariners, experience revealed weaknesses. As a remedy, the parties revised the Convention in 1995 and introduced concepts that emphasize training and practical demonstrations of a mariner's skills. Also, the revised Convention introduced a new format for the STCW endorsement.
- c. A party may use the STCW form alone as proof of a mariner's qualifications, or the party may continue issuing its existing credentials and attach to them the international form. In the latter case, the STCW form validates that the holder's qualifications meet the provisions of the STCW. The Coast Guard selected this latter method and will continue to issue licenses and merchant mariner documents (MMDs) on the forms familiar to U.S. mariners. The STCW form constitutes the "certificate" to which the STCW frequently refers.

5. DISCUSSION.

- a. The STCW applies only to mariners employed on vessels operating seaward of the boundary lines specified in Title 46, Code of Federal Regulations, Part 7. Mariners on vessels that do not proceed seaward of the boundary lines are not required to have the STCW form. Under STCW-78, the following personnel are required to hold an international validation:
  - (1) Masters and mates licensed for service on vessels on ocean or near coastal routes, regardless of any tonnage limitation;
  - (2) Operators of uninspected towing vessels with an ocean or near coastal route and operators of uninspected passenger vessels with a near coastal route;
  - (3) Engineer officers licensed for service on vessels of 1000 horsepower (HP) (equal to 750 kilowatts [kW]) or more;

- (4) Able seamen and some specially-trained ordinary seamen on vessels of 500 or more gross tons (GT) measured in accordance with the International Tonnage Convention;
- (5) A tankerman qualified in accordance with Title 46, Code of Federal Regulations (46 CFR), Part 13; and
- (6) Any rating qualified as lifeboatman (qualification as proficient in survival craft and rescue boats).

b. In addition, STCW-95 added the following personnel:

- (1) Any rating forming part of a watch in a manned engine room or designated to perform duties in a periodically unmanned engine room of a vessel of more than 750kW (1,000 HP); and
- (2) Every person qualified to perform radio duties or serve as an at-sea maintainer on a ship required to participate in the Global Maritime Distress and Safety System (GMDSS).

c. The terms used in the STCW for some capacities differ from the terms used on the Coast Guard issued credentials (licenses and MMDs). The STCW-78 form uses the qualification terms from the Convention. Entries on the STCW-95 forms will include both the terminology from the STCW and the equivalent qualification from the domestic scheme of licensing and certification of seamen.

d. STCW-95 became effective on February 1, 1997, and the United States has five years in which to fully implement all of the 1995 amendments. A mariner who renews a license or MMD before February 1, 2002, and who does not meet STCW-95 will be issued the renewed license or MMD with a five-year period of validity. The accompanying STCW-78 form will be issued with an expiration date of January 31, 2002. Enclosure (1), *Information for Transition from STCW-78 Forms to STCW-95 Forms*, contains information about the requirements for qualifying for an STCW-95 form.

e. Enclosure (2), *Information About Issuance of International Validation Forms Required by STCW-78*, contains the procedures for issuance of STCW forms under STCW-78. When a mariner qualifies for a form under the provisions of STCW-95, the procedures in enclosure (3), *Information About Issuance of International Validation Forms Required by STCW-95*, apply.

## 6. PROCEDURE.

- a. Qualifying mariners will be issued an STCW form when they are issued an original license, or upgrade, renew, or increase the scope of an existing license, or
  - (1) If the mariner is getting a new license, new endorsement, or a renewal with full operating authority, the Coast Guard Regional Examination Center (REC) will issue an STCW form automatically without charge.

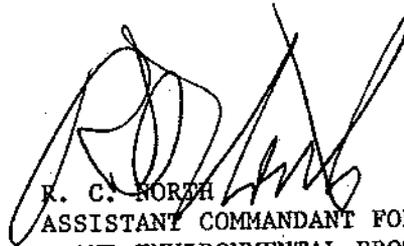
- (2) If the mariner is renewing a license for continuity only, the REC will not issue an STCW form until full operating authority is restored and the mariner qualifies for the form.

b. A mariner may request an STCW form by:

- (1) Visiting an REC and presenting his/her Coast Guard issued license and/or MMD. If workload permits, the STCW form may be issued the same day; or
- (2) Writing to the REC that issued the license or MMD. Enclosure (4) lists the mailing address of each REC and contains a Privacy Act statement. Include the following information:

Full name as it appears on the license and/or MMD;  
Social security number;  
Return address; and  
Copies of both sides of each credential.

- c. If the mariner holds either a license authorizing service only on seagoing passenger vessels of less than 100 GRT, other seagoing vessels of less than 200 GRT, or a license as designated duty engineer with a horsepower limitation, an STCW endorsement for domestic, near coastal voyages only may be typed directly on the license. These mariners do not require a separate STCW form for service on domestic voyages.



R. C. NORTH  
ASSISTANT COMMANDANT FOR MARINE SAFETY  
AND ENVIRONMENTAL PROTECTION

- Encl: (1) Information for transition from STCW-78 forms to STCW-95 forms  
(2) Information about issuance of international validation forms required by STCW-78  
(3) Information about issuance of international validation forms required by STCW-95  
(4) Privacy act statement and list of RECs

**NON-STANDARD DISTRIBUTION:**

B:a Commandant G-MOC (5); G-MSO (5)

C:e New Orleans (40); Miami, Boston, Puget Sound, San Francisco, Honolulu, Houston, Juneau, Los Angeles/Long Beach, Charleston, Anchorage, Memphis, Toledo, Portland OR (20)

C:m Baltimore (40), New York (25)

D:l Maritime Administration (MARAD) (2); Military Sealift Command (Code N-7CG) (2)

## I. GENERAL INFORMATION FOR ANY STCW-95 FORM

This information applies to the entries on any STCW-95 form. Detailed information for each type of license or MMD will be found under the specific section for the license or MMD.

1. After the words "Certificate Nos.," the serial number of the license or the social security number from an MMD will appear. If the mariner holds both, both numbers will appear.
2. The name must agree with the name used on the license or MMD.
3. The STCW's regulation number under which the mariner is qualified is entered on the form. If qualified under more than one regulation, all numbers will appear.
4. The expiration date entered on the line after "...indicated until," is the expiration date of the license or MMD, whichever occurs first.
5. No entry is required in the FUNCTION-LEVEL-LIMITATION section.
6. General limitations are entered in the top part of the CAPACITY-LIMITATIONS section. An example of a general limitation is a requirement to wear corrective lenses. The wording for a general limitation will follow the guidance in the Marine Safety Manual, Volume III,
7. If a mariner holds a license and an MMD, only separate and distinct qualifications and limitations will be listed on the STCW form. Qualifications that are inherent within the license, such as qualification as a rating forming part of a watch or proficient in survival craft need not be repeated. Only STCW qualifications will be shown. Qualifications outside the scope of the STCW (e.g., inland, Great Lakes routes) are not listed.
8. Unused space of the CAPACITY-LIMITATIONS section will be lined out.
9. If the mariner's capacities or limitations fill the front of the form, they may be continued on a second page.
10. After "Endorsement No.," the license number and/or social security number will be entered. This entry must agree with the entry made in accordance with paragraph one above. The date and port of issuance of the STCW form is then entered to complete the line.
11. A new form will be issued to a mariner who upgrades a license, increases the scope of a license, or adds an endorsement to either a license or an MMD that changes the mariner's qualifications under the STCW. New qualifications are not added to an existing form. Old forms are voided and may be returned to the individual.
12. A photo must be glued to the lower center of the form. The photo should be passport type, and may be either black-and-white or color. A clear laminating plastic may be overlaid on the photograph area.

13. The form will be sealed with a raised seal that overlays part of the signature of the authorized official and the photo to tie it to the form. If there are entries on the reverse, both sides must be sealed.

14. If requested, an entry may be made in the CAPACITY-LIMITATIONS section indicating that the mariner has completed the necessary training required by the STCW Code Tables, A-VI/1. The entry "Basic safety training and instruction completed on \_\_\_\_\_" will be entered. If all elements were not completed on the same date, the date entered will be the oldest date.

## II. STCW FORM FOR DECK OFFICERS

1. The table shows the STCW regulations that apply to deck officers. Deck officers licensed for service on vessels of less than 200 GRT (500 GT) will have their license endorsed "For domestic voyages only, the holder of this license meets the STCW 1995 regulations without further endorsement." If a deck officer with such a license requests an STCW form, these instructions apply.

LICENSE	STCW REGULATION
Mates (except chief mates) licensed for service on ships of 500 gross tons or more	Regulation II/1
Masters and chief mates licensed for service on ships of 500 GT or more	Regulation II/2
Masters and mates licensed for service on ships of less than 500 GT	Regulation II/3.
Master's and mate's qualifications for service on tankers	Regulation V/1
Master's and Mate's qualifications for service on RO-RO passenger ships	Regulation V/2
Master's and Mate's qualifications for service on passenger ships other than RO-RO passenger ships	Regulation V/3

2. Under CAPACITY, enter the title(s) used in the STCW. These are master, chief mate, or officer in charge of a navigational watch. For the last entry, the license level (second mate, third mate, or mate), will be indicated in parentheses.

3. In the LIMITATIONS section opposite each title, specific limitations based on the license are entered. A mariner may have several levels of license and different limitations may apply. Some standard limitations are:

a. ROUTE: No route entry is needed for an ocean license; otherwise, "Valid for near coastal voyages only" is entered.

b. TONNAGE: The tonnage limitation is shown by "Limited to vessels of not more than \_\_\_\_\_ GRT (\_\_\_\_\_ GT)" or "...not more than \_\_\_\_\_ GRT" whichever applies.

c. TANKERMAN – PIC: If a deck officer is qualified as a tankerman-PIC, one of the following will be entered:

- (1) "Valid for service on tankships carrying dangerous liquid oil or chemical cargoes";
- (2) "Valid for service on tankships carrying liquefied gas cargoes"; or
- (3) "Valid for service on tankships carrying dangerous liquid oil or chemical cargoes, or liquefied gas cargoes."

d. ARPA QUALIFICATION: Deck officers who have not completed a Coast Guard approved or accepted ARPA course will have the STCW form endorsed "Not valid for service on ARPA equipped vessels."

e. RADAR: If the mariner is qualified as a radar observer, and the expiration date of the radar observer qualification occurs before the expiration of the license, the limitation is "Not valid for service on radar-equipped vessels of 300 or more gross tons or radar-equipped towing vessels of more than 8 meters in length (approximately 26 feet) after (date)."

f. RADIO: If the mariner is qualified as a radio operator under the global maritime distress safety system (GMDSS), the entry will be "Valid for service on vessels operating in the GMDSS system." In some situations, when a mariner has not completed all of the GMDSS training and assessments, the entry will expire on February 1, 2002.

g. PASSENGER VESSEL SERVICE: Deck officers serving on passenger vessels (RO-RO or non-RO-RO) in positions set forth in the STCW must have specialized training and qualifications as required by STCW regulations V/2 and V/3. Those deck officers must carry proof of having met the STCW competency requirements when serving on such vessels. No entry will be made on the STCW form.

h. OTHER: If the license has other limitations, such as service on specific types of vessels, such limitation(s) shall also be included.

### SECTION III. STCW FORM FOR ENGINEER OFFICERS

1. The STCW-95 regulations that apply to engineer officer are shown in the table. The license of a designated duty engineer (DDE) of limited horsepower will be endorsed "For domestic voyages only, the holder of this license meets the STCW 1995 regulations without further endorsement." If requested, an STCW form may be issued to a DDE in accordance with the guidance of this enclosure.

LICENSE	STCW REGULATION
Second assistant engineers, third assistant engineers, assistant engineers, and DDE	Regulation III/1
Chief engineers and first assistant engineers [1AE] licensed for main propulsion machinery of 4,000 HP (3,000 kW) or more	Regulation III/2
Chief engineers and 1AEs with licenses limited to propulsion machinery between 1000 HP (750 kW) and 4,000 HP (3000 kW)	Regulation III/3.
Engineer officer's qualifications to serve on tankers	Regulation V/1
Chief Engineer and 1AE serving on RO-RO passenger ships	Regulation V/2
Chief Engineer and 1AE serving on passenger ships other than RO-RO passenger ships	Regulation V/3

2. Under CAPACITY, the entries are "chief engineer," "second engineer officer (first assistant engineer)," or "engineer in charge of a watch or designated duty engineer." For the latter entry, the license level(s) indicated on the Coast Guard issued license (e.g., second assistant engineer, third assistant engineer, or assistant engineer) will be entered in parenthesis. The title "designated duty engineer" is used when the mariner holds a U.S. license as DDE.

3. In the LIMITATIONS section opposite each title, specific limitations based on the license will be entered. A mariner may have several levels of license with each level having different limitations. Some standard limitations are:

a. ROUTE: "Valid for near coastal voyages only" will be entered for a chief engineer (limited near coastal) or DDE with limited horsepower.

b. TONNAGE: A tonnage limitation is indicated by "Limited to vessels of not more than \_\_\_\_\_ gross tons." The tonnage limitation for limited engineers is 1600 GRT (3,000 GT). The tonnage limitation for a DDE is 500 GRT.

c. TYPE OF PROPULSION:

(1) No entry is made for a steam and motor license.

(2) If the propulsion mode is motor only, "Not valid in ships in which steam boilers form part of main propulsion system" will appear in the LIMITATIONS section.

(3) If the propulsion mode is steam only, "Valid only in ships in which steam boilers form part of the propulsion system" will appear.

d. HORSEPOWER: "Valid in ships of not more than \_\_\_\_\_ horsepower (\_\_\_\_\_kW)" will be used to indicate a horsepower limitation. One horsepower is equal to  $\frac{3}{4}$  of a kilowatt for licensing purposes.

e. **TANKERMAN:** If an engineer officer is qualified as a tankerman-engineer, one of the following will be entered:

- (1) "Valid for service on tankships carrying dangerous liquid oil or chemical cargoes";
- (2) "Valid for service on tankships carrying liquefied gas cargoes"; or
- (3) "Valid for service on tankships carrying dangerous liquid oil or chemical cargoes or liquefied gas cargoes."

If the engineer officer is qualified as a tankerman - PIC, enter that rating in the capacity section and in the LIMITATIONS section along with the applicable type of service from e.(1); e.(2); or e.(3) above.

f. **PASSENGER VESSEL SERVICE:** Deck engineer officers serving on passenger vessels (RO-RO or non-RO-RO) in positions set forth in the STCW must have specialized training and qualifications as required by STCW regulations V/2 and V/3. Those officers must carry proof of having met the STCW competency requirements when serving on such vessels. No entry will be made on the STCW form.

g. **OTHER:** Any other limitation will be indicated.

#### IV. STCW FORM FOR OPERATORS OF UNINSPECTED TOWING VESSELS (OUTV)

1. This license is not valid for an international voyage. A mariner holding this license will have the following endorsement added to the license form "For domestic voyages only, the holder of this license meets the STCW 1995 regulations without further endorsement."
2. In accordance with 46 CFR 10.209, an OUTV with an ocean or near coastal route who converts his or her license to a license as master or mate (pilot) of towing vessels is subject to the requirements that apply to either a master's or a mate's license.

#### V. STCW FORM FOR RATINGS FORMING PART OF A NAVIGATIONAL WATCH

1. Deck ratings forming part of a navigational watch, including able seamen and specially trained ordinary seamen, on a vessel 500 GT or more are qualified under regulation II/4. An able seaman meets the requirements for this endorsement because it is an integral part of the qualification for the able seaman rating. To qualify for this endorsement, the specially trained ordinary seaman must:

- a. Have at least one year of deck service between the period October 1, 1986, and September 30, 1991 and provide evidence of competency in BST. This option expires February 1, 2002; or

b. Provide evidence of meeting the training and experience requirements of STCW-95 regulation II/4 satisfactory to the Officer in Charge of Marine Inspection, meet the medical standards, and have valid BST.

2. Under CAPACITY, enter "Rating forming part of a navigational watch" followed by (AB-unl; -lim; etc.) if applicable.
3. In the LIMITATIONS section, any limitations noted on the MMD are listed. If the MMD is limited to certain vessels, that limitation shall be shown as "Limited to service on \_\_\_\_\_ (sail training vessels) (fishing industry vessels) (offshore supply vessels) (mobile offshore units)."

#### VI. STCW FORM FOR A CERTIFICATE OF PROFICIENCY IN SURVIVAL CRAFT

1. A mariner qualifies for this endorsement under regulation VI/2.
2. A mariner holding an MMD endorsed as able seaman-unlimited, able seaman-limited, able seaman-special, any unlicensed rating in the deck department including able seaman, or lifeboatman is eligible for this STCW certification. The able seaman-special (OSV), fishing industry vessel, or -sail is not eligible for this certification unless also qualified as proficient in survival craft.
3. In the CAPACITY section of the form, enter "Proficient in survival craft (Lifeboatman)."
4. If the lifeboatman's qualification is limited to inflatable survival craft, the limitation should read "Limited to inflatable survival craft only."
5. If the mariner is also qualified for fast rescue boats, in the LIMITATIONS APPLYING section the endorsement "Valid for service in fast rescue boats" will be added.

#### VII. STCW FORM FOR TANKERMAN-ASSISTANT

1. A tankerman-assistant is qualified under regulation V/1.
2. The tankerman qualifications for deck and engineering officers will appear on the STCW form that validates their license. This section applies only to mariners with the tankerman-assistant-DL and or -LG endorsement on their MMD.
3. In the CAPACITY section of the form, the entry will be "Tankerman-assistant."
4. In the LIMITATIONS section of the form, the entry will be:
  - a. "Valid for service on tankships carrying dangerous liquid oil or chemical cargoes";
  - b. "Valid for service on tankships carrying liquefied gas cargoes"; or

c. "Valid for service on tankships carrying dangerous liquid oil or chemical cargoes, or liquefied gas cargoes."

VIII. STCW FORM FOR RATINGS FORMING PART OF A WATCH  
IN A MANNED ENGINE ROOM OR DESIGNATED TO PERFORM DUTIES IN A  
PERIODICALLY UNMANNED ENGINE ROOM.

1. Qualified members of the engine department (QMED) forming part of an engineering watch on a vessel of 750 kW (1,000 HP) or more are certificated under regulation III/4.
2. The following QMED ratings are eligible for the STCW endorsement: QMED-any rating, oiler, fireman/watertender, junior engineer, deck engine mechanic, or engineman. In the CAPACITY section, the entry will be "Rating forming part of an engineering watch (\_\_\_ QMED rating \_\_\_)."
3. A QMED who began before August 1, 1998, the service or training that qualifies for the endorsement is not required to have the STCW form until February 1, 2002. However, the mariner should apply and be issued the form before February 1, 2002. QMEDs holding any of the qualified ratings in paragraph 2 above who renew their MMD before February 1, 2002, will be issued the STCW-95 form if they have proof of basic safety training.
4. A QMED who began the service or training on or after August 1, 1998, that qualifies for the STCW endorsement and all applicants issued an endorsement on or after February 1, 2002, must meet the STCW's requirements including training, assessments, and proof of completion of basic safety training before an STCW-95 form may be issued.

IX. STCW FORM FOR RADIOCOMMUNICATION AND RADIO PERSONNEL

1. Persons performing radio duties on ships operating within the GMDSS must have a course completion certificate from a Coast Guard approved or accepted GMDSS course (or training and assessment program) and a GMDSS operator's license issued by the Federal Communications Commission. This qualification will be endorsed on an STCW form. They are qualified under regulation IV/2.
2. This qualification may be added to the STCW form issued to an officer or rating, or it may stand alone if the mariner is not required to hold an STCW form by another regulation. If the mariner does not hold an STCW form under another regulation, the entry in the CAPACITY section will be "Radio operator." In the LIMITATION APPLYING section, the entry will be "Valid for service on vessels operating in the GMDSS system."
3. Personnel qualified as an at-sea maintainer of GMDSS systems and holding an MMD endorsed as such may be issued an STCW-95 form endorsed as "Radio maintainer." In the LIMITATION APPLYING section, the entry will be "Valid for service on vessels operating in the GMDSS system."

## X. SAMPLE STCW FORMS ISSUED UNDER STCW-95

1. The following sample STCW-95 forms illustrate the issuance of the international validation in accordance with the above guidelines.

a. Illustration one is a form issued to a chief mate of unlimited tonnage who is qualified as a tankerman-PIC. He is also qualified to serve on vessels operating within the GMDSS system.

b. Illustration two is a form issued to a QMED with a watchstanding rating as junior engineer. The mariner completed basic safety training and familiarization and elected the option to have it noted on the STCW form.

c. Illustration three is a form issued to a radio officer who is qualified to serve on a vessel operating within the GMDSS system. An STCW form is not required unless the vessel participates within GMDSS. The mariner completed basic safety training and familiarization and elected the option to have it noted on the STCW form.

d. Illustration four is a form issued to an able seaman who is qualified as a tankerman-assistant. This endorsement under STCW-78 would read "Rating forming part of a navigational watch."



# United States of America

## ENDORSEMENT ATTESTING THE ISSUE OF A CERTIFICATE UNDER THE PROVISIONS OF THE INTERNATIONAL CONVENTION ON STANDARDS OF TRAINING, CERTIFICATION AND WATCHKEEPING FOR SEAFARERS, 1978, AS AMENDED IN 1995

The Government of the United States of America certifies that Certificate No.(s) 113069 and 772390419 has been issued to James J. Wilson, who has been found duly qualified in accordance with the provisions of regulation(s) II/2 and V/1 of the above Convention, to serve in the capacity or capacities listed below, subject to any limitations indicated until 10 November 2005. This endorsement is not valid unless accompanied by a valid U.S. Merchant Mariner's license or document.

FUNCTION	LEVEL	LIMITATIONS APPLYING (IF ANY)

The lawful holder of this endorsement may serve in the following capacity or capacities specified.

CAPACITY	LIMITATIONS APPLYING (IF ANY)
Chief Mate	Valid for service on vessels operating in the GMDSS system. Valid for service on tankships carrying dangerous liquid oil or chemical cargoes.

Endorsement No.: 113069 and 772390419 issued on 1 April 1999 at Toledo, Ohio

23 October 1951  
Date of birth of the holder of the certificate

\_\_\_\_\_  
Signature of certificate holder

\_\_\_\_\_  
Photograph area

\_\_\_\_\_  
Signature of duly authorized official

\_\_\_\_\_  
Name of duly authorized official

DEPT. OF TRANS., CG 5611 (10-96)

(Cut on dashed line!)  
ILLUSTRATION 1

(Emboss Official Seal above this line. ↑)



# United States of America

## ENDORSEMENT ATTESTING THE ISSUE OF A CERTIFICATE UNDER THE PROVISIONS OF THE INTERNATIONAL CONVENTION ON STANDARDS OF TRAINING, CERTIFICATION AND WATCHKEEPING FOR SEAFARERS, 1978, AS AMENDED IN 1995

The Government of the United States of America certifies that Certificate No.(s) 161310199 has been issued to George M. Jackson, who has been found duly qualified in accordance with the provisions of regulation(s) III/4 of the above Convention, to serve in the capacity or capacities listed below, subject to any limitations indicated until 10 November 2005. This endorsement is not valid unless accompanied by a valid U.S. Merchant Mariner's license or document.

FUNCTION	LEVEL	LIMITATIONS APPLYING (IF ANY)

The lawful holder of this endorsement may serve in the following capacity or capacities specified.

CAPACITY	LIMITATIONS APPLYING (IF ANY)
Rating forming part of an engine room watch (QMED-Junior Engineer)	Basic safety training completed 16 September 2000.

Endorsement No.: 16130199 Issued on 10 November 2000 at Anchorage, Alaska

14 June 1977  
Date of birth of the holder of the certificate

\_\_\_\_\_  
Signature of certificate holder

Photograph  
area

\_\_\_\_\_  
Signature of duty authorized official

\_\_\_\_\_  
Name of duty authorized official

DEPT. OF TRANS., CG 5611 (10-96)

(Cut on dashed line)  
ILLUSTRATION 2

(Emboss Official Seal above this line. | )



# United States of America

## ENDORSEMENT ATTESTING THE ISSUE OF A CERTIFICATE UNDER THE PROVISIONS OF THE INTERNATIONAL CONVENTION ON STANDARDS OF TRAINING, CERTIFICATION AND WATCHKEEPING FOR SEAFARERS, 1978, AS AMENDED IN 1995

The Government of the United States of America certifies that Certificate No.(s) 113390141 has been issued to Robert F. Sparks, who has been found duly qualified in accordance with the provisions of regulation(s) IV of the above Convention, to serve in the capacity or capacities listed below, subject to any limitations indicated until 16 February 2004. This endorsement is not valid unless accompanied by a valid U.S. Merchant Mariner's license or document.

FUNCTION	LEVEL	LIMITATIONS APPLYING (IF ANY)

The lawful holder of this endorsement may serve in the following capacity or capacities specified.

CAPACITY	LIMITATIONS APPLYING (IF ANY)
Radio Maintainer Radio Operator	Valid for service on vessels operating in the GMDSS system. Basic safety training completed 14 December 1998.

Endorsement No.: 77326 and 113390141 issued on 16 February 1999 at Long Beach, CA

7 December 1961  
Date of birth of the holder of the certificate

\_\_\_\_\_  
Signature of duly authorized official

\_\_\_\_\_  
Signature of certificate holder

\_\_\_\_\_  
Photograph area

\_\_\_\_\_  
Name of duly authorized official

DEPT. OF TRANS., CG 5611 (10-96)

(Cut on dashed line)  
ILLUSTRATION 3

(Emboss Official Seal above this line. ↑ )



# United States of America

## ENDORSEMENT ATTESTING THE ISSUE OF A CERTIFICATE UNDER THE PROVISIONS OF THE INTERNATIONAL CONVENTION ON STANDARDS OF TRAINING, CERTIFICATION AND WATCHKEEPING FOR SEAFARERS, 1978, AS AMENDED IN 1995

The Government of the United States of America certifies that Certificate No.(s) 287620001 has been issued to Richard A. Willing, who has been found duly qualified in accordance with the provisions of regulation(s) II/4, VI, and V/1 of the above Convention, to serve in the capacity or capacities listed below, subject to any limitations indicated until 23 July 2003. This endorsement is not valid unless accompanied by a valid U.S. Merchant Mariner's license or document.

FUNCTION	LEVEL	LIMITATIONS APPLYING (IF ANY)

The lawful holder of this endorsement may serve in the following capacity or capacities specified.

CAPACITY	LIMITATIONS APPLYING (IF ANY)
Rating forming part of a navigational watch (Able-seaman unlimited) Tankerman-Assistant  Proficient in the use of survival craft (Lifeboatman)	Valid for service on tankships carrying dangerous liquid oil or chemical cargoes.

Endorsement No.: 287620001 issued on 23 July 1998 at Miami, Florida

1 April 1946  
Date of birth of the holder of the certificate

\_\_\_\_\_  
Signature of certificate holder

\_\_\_\_\_  
Photograph area

\_\_\_\_\_  
Signature of duly authorized official

\_\_\_\_\_  
Name of duly authorized official

DEPT. OF TRANS., CG 5611 (10-96)

(Cut on dashed line)  
ILLUSTRATION 4

(Emboss Official Seal above this line. ↑)

## Guidance regarding provisions of the annex to the STCW Convention

### Chapter I

#### Guidance regarding general provisions

##### Section B-I/1

###### *Guidance regarding definitions and clarifications*

1 The definitions contained in article II of the Convention, and the definitions and interpretations contained in regulation I/1 of its annex, apply equally to the terms used in parts A and B of this Code. Supplementary definitions which apply only to the provisions of this Code are contained in section A-I/1.

2 Officers with capacities covered under the provisions of chapter VII may be designated as polyvalent officer, dual-purpose officer or other designations as approved by the Administration, in accordance with the terminology used in the applicable safe manning requirements.

3 Ratings qualified to serve in capacities covered under the provisions of chapter VII may be designated as polyvalent ratings or other designations as approved by the Administration, in accordance with the terminology used in the applicable safe manning requirements.

##### Section B-I/2

###### *Guidance regarding certificates and endorsements*

1 Where an endorsement is integrated in the format of a certificate as provided by section A-I/2, paragraph 1, the relevant information should be inserted in the certificate in the manner explained hereunder, except for the omission of the space numbered .2. Otherwise, in preparing endorsements attesting the issue of a certificate, the spaces numbered .1 to .17 in the form which follows the text hereunder should be completed as follows:

- .1 Enter the name of the issuing State.
- .2 Enter the number assigned to the certificate by the Administration.

- .3 Enter the full name of the seafarer to whom the certificate is issued. The name should be the same as that appearing in the seafarer's passport, seafarer's identity certificate and other official documents issued by the Administration.
- .4 The number or numbers of the STCW Convention regulation or regulations under which the seafarer has been found qualified should be entered here, for example:
  - .4.1 II/1, if the seafarer has been found qualified to fill the capacity of officer in charge of a navigational watch,
  - .4.2 III/1, if the seafarer has been found qualified to act as engineer officer in charge of a watch in a manned engine-room, or as designated duty engineer officer in a periodically unmanned engine-room,
  - .4.3 IV/2, if the seafarer has been found qualified to fill the capacity of radio operator,
  - .4.4 VII/1, if the certificate is a functional certificate and the seafarer has been found qualified to perform functions specified in part A of the Code, for example, the function of marine engineering at the management level, and
  - .4.5 III/1 and V/1, if found qualified to act as the engineer officer in charge of a watch in a manned engine-room, or as designated duty engineer officer in a periodically unmanned engine-room in tankers. (See limitations in paragraphs .8 and .10 below)
- .5 Enter the date of expiry of the endorsement. This date should not be later than the date of expiry, if any, of the certificate in respect of which the endorsement is issued, nor later than five years after the date of issue of the endorsement.
- .6 In this column should be entered each of the functions specified in part A of the Code which the seafarer is qualified to perform. Functions and their associated levels of responsibility are specified in the tables of competence set out in chapters II, III and IV of part A of the Code, and are also listed for convenient reference in the introduction to part A. When reference is made under .4 above to regulations in chapters II, III or IV it is not necessary to list specific functions.
- .7 In this column should be entered the levels of responsibility at which the seafarer is qualified to perform each of the functions entered in column .6. These levels are specified in the tables of competence set out in chapters II, III and IV of part A of the Code, and are also listed for convenient reference in the introduction to part A.

- .8 A general limitation, such as the requirement to wear corrective lenses when performing duties, should be entered prominently at the top of this limitations column. Limitations applying to the functions listed in column .6 should be entered on the appropriate line against the function concerned, for example:
- .8.1 "Not valid for service in tankers" – if not qualified under chapter V,
  - .8.2 "Not valid for service in tankers other than oil tankers" – if qualified under chapter V for service only in oil tankers,
  - .8.3 "Not valid for service in ships in which steam boilers form part of the ship's machinery" – if the related knowledge has been omitted in accordance with STCW Code provisions, and
  - .8.4 "Valid only on near-coastal voyages" – if the related knowledge has been omitted in accordance with STCW Code provisions.
- Note:* Tonnage and power limitations need not be shown here if they are already indicated in the title of the certificate and in the capacity entered in column .9.
- .9 The capacity or capacities entered in this column should be those specified in the title to the STCW regulation or regulations concerned in the case of certificates issued under chapters II or III, or should be as specified in the applicable safe manning requirements of the Administration, as appropriate.
- .10 A general limitation such as the requirement to wear corrective lenses when performing duties should be entered prominently at the top of this limitations column also. The limitations entered in column .10 should be the same as those shown in column .8 for the functions performed in each capacity entered.
- .11 The number entered in this space should be that of the certificate, so that both certificate and endorsement have the same unique number for reference and for location in the register of certificates and/or endorsements, etc.
- .12 The date of original issue of the endorsement should be entered here; it may be the same as, or differ from, the date of issue of the certificate, in accordance with the circumstances.
- .13 The name of the official authorized to issue the endorsement should be shown here in block letters below the official's signature.
- .14 The date of birth shown should be the date confirmed from Administration records or as otherwise verified.

- .15 The endorsement should be signed by the seafarer in the presence of an official, or may be incorporated from the seafarer's application form duly completed and verified.
- .16 The photograph should be a standard black and white or colour passport type head and shoulders photograph, supplied in duplicate by the seafarer so that one may be kept in or associated with the register of certificates.
- .17 If the blocks for revalidation are shown as part of the endorsement form (see section A-I/2, paragraph 1), the Administration may revalidate the endorsement by completing the block after the seafarer has demonstrated continuing proficiency as required by regulation I/11.

(Official Seal)

(COUNTRY)

ENDORSEMENT ATTESTING THE ISSUE OF A CERTIFICATE  
 UNDER THE PROVISIONS OF THE INTERNATIONAL CONVENTION  
 ON STANDARDS OF TRAINING, CERTIFICATION AND WATCHKEEPING  
 FOR SEAFARERS, 1978, AS AMENDED IN 1995

The Government of .....1..... certifies that Certificate No. ....2..... has been issued to .....3..... who has been found duly qualified in accordance with the provisions of regulation .....4..... of the above Convention, as amended, and has been found competent to perform the following functions, at the levels specified, subject to any limitations indicated until .....5..... or until the date of expiry of any extension of the validity of this endorsement as may be shown overleaf:

.6 FUNCTION	.7 LEVEL	.8 LIMITATIONS APPLYING (IF ANY)

The lawful holder of this endorsement may serve in the following capacity or capacities specified in the applicable safe manning requirements of the Administration:

.9 CAPACITY	.10 LIMITATIONS APPLYING (IF ANY)

Endorsement No. ....11..... issued on .....12.....

(Official Seal)

.....  
 Signature of duly authorized official

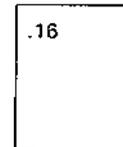
.....13.....  
 Name of duly authorized official

The original of this endorsement must be kept available in accordance with regulation I/2, paragraph 9 of the Convention while serving on a ship.

Date of birth of the holder of the certificate .....14.....

Signature of the holder of the certificate .....15.....

Photograph of the holder of the certificate



STCW  
 Code