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16711
Policy Letter No. 02-03

July 12, 2002

From: Commandant
To: Distribution

Subj: POLICY FOR THE ENFORCEMENT OF THE 1995 AMENDMENTS TO THE INTERNATIONAL CONVENTION ON STANDARDS OF TRAINING, CERTIFICATION AND WATCHKEEPING FOR SEAFARERS, 1978 (STCW 95) ON BOARD U.S. FLAG VESSELS

1. PURPOSE. This letter provides policy on the enforcement of the 1995 Amendments to the International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978 (STCW 95), during inspections of U.S. flag vessels. It is intended to be used by Coast Guard Marine Inspectors, and vessel owners and operators in ensuring compliance with the requirements under STCW 78 and the convention's 1995 amendments.

2. ACTION.

   a. This letter contains guidance in the form of a series of enclosures. Enclosure (1) contains detailed guidance to be used during an inspection of a U.S. flag vessel. Guidance regarding the applicability of STCW is contained in section 3 of enclosure (1). Enclosure (2) is a checklist that can be used as an addendum to the applicable USCG inspection books. Enclosure (3) contains background on the STCW Convention, a list of terms that are not defined in STCW, and a list of references and websites that further explain STCW issues and should be used during all advanced assessments.

   b. Because assessment of a mariner's skills could be a subjective process, Coast Guard personnel shall use discretion when considering enforcement action. Marine inspectors will ensure vessel personnel are provided copies of this policy letter and offer additional clarification of Coast Guard policies as needed or requested. Any deficiency, or CG-835 issued for noncompliance with the STCW Code should offer adequate time to allow for full compliance.

3. DIRECTIVES AFFECTED. This policy letter amplifies the guidance contained in MSG R 302351Z JAN 02 ZY, SUBJ: ENFORCEMENT GUIDANCE FOR INTERNATIONAL CONVENTION ON STANDARDS FOR TRAINING, CERTIFICATION, AND WATCHKEEPING FOR SEAFARERES 1978, AS AMENDED (STCW 95).

4. DISCUSSION.

   a. The following discussion is designed to highlight some of the major requirements of the STCW Convention as amended in 1995.

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(1) STCW Code. The Code is divided into two sections, Part A and Part B. Both sections are cross-referenced directly to the articles and regulations of the Convention (*for example: part A-II/1 and part B-II/1 of the Code correspond with Regulation II/1 of the Annex to the STCW Convention*). Each part of the Code fulfills a different role and is designed to be used in conjunction with the Convention.

Part A - contains the *mandatory* provisions which give, in detail, the minimum standards required to be maintained by Parties in order to effectively implement the requirements of the STCW Convention. This includes the specific standards of competency to be maintained by various members of a ship's crew (i.e., master, deck officers, engineers, radio personnel, etc.) and the methods of demonstrating and the criteria for assessing compliance with those standards of competency.

Part B - contains *recommended guidance* to assist Parties to the STCW Convention and those involved in implementing, applying, or enforcing its measures to give the STCW Convention full and complete effect in a uniform manner. These are not mandatory; instead, they are only intended to demonstrate how certain Convention requirements may be complied with. However, the recommendations represent an approach that has been harmonized through discussions within IMO involving, where appropriate, consultation with the International Labor Organization (ILO), the International Telecommunication Union (ITU) and the World Health Organization (WHO).

(2) Certification and Endorsements.

(a) STCW certificates (1995 Endorsements) may be in any one of three forms as illustrated in section A-I/2 of the Code. The first variation may contain the endorsement as a separate document to accompany a national certificate. This is the system adopted by the U.S.

(b) All information relating to the identity of the mariner, including name, date of birth, photograph and signature, along with the date on which the document was issued, shall be displayed on the same side of the STCW documents; and all information relating to the capacity or capacities in which the holder is entitled to serve, in accordance with the Safe Manning Document (which in most cases will be the Certificate of Inspection), as well as any limitations, should be prominently and easily identified.

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(c) Previously valid endorsements issued under the 1978 Convention (1978 STCW endorsements) will not be accepted after August 1, 2002. If there are any questions regarding the validity of a STCW certificate the marine inspector should contact a Regional Exam Center (REC) for assistance.

T. A. CHERRY
By direction

Enclosure: (1) Domestic Vessel STCW Guidance
(2) STCW Check list
(3) STCW Background and References

Copy: Commandant (G-MSO)
All District Commanders (m)
All Area Commanders (Am)
All OCMIs
All Activity Commanders
All RECs

Enclosure (1)

Enforcement of STCW During Inspections of U.S. flag vessels

1. Role of the Coast Guard marine inspector: During the course of an inspection of a U.S. flag vessel that is subject to the STCW Code, the marine inspector should:

   a. Check the licenses, MMDs, and STCW endorsements to ensure they are in compliance with the manning requirements of the COI, and contain endorsements as required by STCW (see section 4.a).

   b. Ensure all mariners have received vessel familiarization training (see section 4.b).

   c. Ensure those mariners required to have Basic Safety Training (BST) have received this training (see section 4.c).

   d. During the course of observing an emergency drill or vessel operations (e.g. cargo operations, and mooring/anchoring), the inspector should also determine if the crew possesses the competencies required under STCW for his/her particular license or rating.

   e. The inspector should also ensure compliance with the work hour requirements of STCW and understand the link between STCW and the International Safety Management (ISM) code. These topics are discussed in sections 4.d and 10.

2. Company Responsibility: Under STCW regulation I/14 and section A-I/14 of the STCW Code, ship owners and operators are required to ensure that: (1) All newly assigned seafarers are familiar with their specific duties and with all ship arrangements, installations, equipment, procedures and characteristics relevant to their routine or emergency duties; and (2) that the ship's complement can effectively coordinate their activities in an emergency situation, and are able to perform the vital functions necessary for safe operation and prevention or mitigation of pollution. The company shall also provide written instructions to the master of each ship outlining the policies and procedures to be followed to ensure that all seafarers who are newly employed onboard the ship are given an opportunity to become familiar with shipboard equipment, operating procedures and other arrangements needed for the proper performance of their duties, before being assigned those duties (see section 4.b). Detailed guidance for U.S. flag vessels is covered in NVIC 4-97, *Guidance on company roles and responsibilities under the 1995 Amendments to the International Convention on STCW.*

3. STCW Applicability: The following should be used to determine which sections of STCW apply to a particular vessel:

   a. The STCW Code applies to seagoing vessels operating outside the boundary line, as defined in 46 CFR 7. The following vessel types are exempt: warships

and other government owned non-commercial vessels (with provisions as described in Article III (a)), fishing vessels, pleasure yachts not engaged in trade, and wooden ships of primitive build.

b. The application of STCW to U.S. flag vessels that are less than 200 tons GRT (or 500 tons ITC), including those inspected under 46 CFR subchapter "T" and "K," and the mariners sailing aboard them, is covered in 46 CFR 10.202 (k).

c. The National Maritime Center (NMC) released an information bulletin in October 2001 that describes an interim policy that applies to U.S. mariners serving on vessels in near coastal domestic trades on vessels of 200 or more gross register tons and will defer enforcement of the requirement for these mariners to hold an STCW 95 certificate until February 1, 2003 in order to more effectively manage the demand for STCW credentials. A copy of this information bulletin can be found at the following website: http://www.uscg.mil/STCW/m-policy.htm

d. Additional guidance regarding the applicability of STCW to U.S. flag vessels is contained in paragraph 2.c of NVIC 6-00, *Issuance Of International Forms Required By The STCW To Validate Merchant Mariner Licenses And Documents.*

4. Procedures During Inspection of U.S. flag vessels: The following additional procedures and guidance are to be followed by Coast Guard marine inspectors while conducting inspections of U. S. flag vessels to ensure compliance with the requirements of the STCW Convention and Code. Enclosure (2) provides a checklist that may be used as an addendum to the applicable CG-840 examination book.

   a. Vessel Inspection: During all inspections of U.S. flag vessels, marine inspectors will compare the crew's licenses, MMDs, STCW certificates and endorsements with the requirements of the Certificate of Inspection. The inspector should also check posted watch arrangements to see if the watchkeeping and rest period requirements are being met. NVIC 6-00, should be used as guidance when inspecting STCW certificates and endorsements.

   b. Vessel Familiarization: The marine inspector should request to see evidence that all mariners have received vessel familiarization training. NVIC 4-97 contains more detailed guidance regarding this subject. The training can be documented in any number of ways, including a logbook entry. STCW regulation VI/1 and section A-VI/1 of the Code require all persons employed or engaged on a seagoing ship, to receive training or instruction in vessel familiarization or personal survival techniques to be able to:

      (1) communicate with other persons on board on elementary safety matters and understand safety information, symbols, signs and alarm signals;

(2) know what to do if a person falls overboard, fire or smoke is detected, or the fire or abandon ship alarm is sounded;

(3) identify muster and embarkation stations and emergency escape routes;

(4) locate and don lifejackets; raise alarms and have basic knowledge of the use of portable fire extinguishers;

(5) take immediate action upon encountering an accident or other medical emergency before seeking further medical assistance on board; and

(6) close and open the fire, weathertight and watertight doors fitted in the particular ship, other than those for hull openings.

c. Basic Safety Training (BST): The U.S. regulations that cover BST are contained in 46 CFR 15.1105 (c). The CFR has incorporated STCW regulation VI/1 and section A-VI/1 of the Code. *This regulation requires seafarers who have designated safety or pollution prevention duties in the operation of the ship to receive appropriate basic safety training.* If the mariner has a valid STCW 95 certificate, issued by the Coast Guard, the mariner has completed BST. The company is responsible for maintaining documentary evidence of this training for other mariners not required to hold an STCW certificate, but required to have completed BST (e.g. a cook who is a member of fire team). This should be made available to the inspector upon request. The four elements of BST are:

- personal survival techniques;
- fire prevention and basic fire fighting;
- elementary first aid; and
- personal safety and social responsibilities.

Examples of crewmembers who must have *appropriate* basic safety training include:

(1) all members of the deck and engineer departments required on the safe manning document;

(2) crew members designated as active fire fighters on all fire fighting teams;

(3) all crew members in charge of lifeboat and life raft muster stations;

(4) all crew members involved in the launching of lifeboats and life rafts;

(5) all crew members with designated safety and pollution prevention duties, including those responsible for the proper disposal of garbage and cleaning materials. On a passenger vessel this would include those personnel who may be involved in the hotel services of the ship during normal operations, but who are designated to assist passengers in emergencies. In these cases, the training instruction should be related to their specific duties as assigned on the muster list or station bill. Training in firefighting or first aid that falls beyond the instruction needed to perform their tasks properly, and understanding the overall emergency response systems in which they play a part, is not required. Everyone with a safety or pollution prevention duty should also have an appropriate amount of training or instruction in the area of personal safety, social responsibility and personal survival.

(6) Regulations require any person who is serving in a position with responsibilities on the muster list to have *appropriate* approved BST. The term *appropriate* allows BST to be tailored for an individual position on the muster list (e.g., an entertainer whose only duty is to be a stairway guide would not need all four sections of basic safety training). If an owner/operator of a U.S.- flag vessel wishes to have BST tailored for a particular position, it is up to the cognizant OCMI to determine if this is appropriate, and if so which sections of BST would apply to each particular position. Generally this should only be considered for large cruise ships, or ferries and then only for personnel who do not have firefighting or lifesaving responsibilities.

d. Work Hours: It has been determined that a large percentage of marine casualties are the result of human factors, especially fatigue. Marine inspectors should ensure compliance with the watchkeeping, and fitness for duty provisions contained in STCW chapter VIII, and section A-VIII/1. These sections of the STCW Code require all persons assigned duty as an officer in charge of a watch or as a rating forming part of a watch are to be provided a minimum of 10 hours of rest in any 24-hour period. The 10 hours may be divided into two periods, as long as one period is at least 6 hours in length. The 10-hour period may be reduced to not less than 6 hours per day, for a two-day period, as long as 70 hours of rest are provided in a 7-day period. Watch schedules must be posted where they are easily accessible. Other methods for determining if these requirements are being met include inspection of logbook entries and overtime records, and interviews of crewmembers. The term *rest* is defined in 46 CFR 15.1101 as, *"a period of time during which the person concerned is off duty, is not performing work (which includes administrative tasks such as chart corrections or preparation of port-entry documents), and is allowed to sleep without being interrupted."*

5. Specialized training: STCW chapter V, *Special training requirements for personnel on certain types of ships*, requires additional training for mariners serving as a master, officer, or a rating on: tank ships; ro-ro passenger vessels *on international voyages*; and non ro-ro passenger vessels *on international voyages*. The following guidance should be used when inspecting these vessels for compliance with STCW.

   a. Specialized training for mariners serving onboard tank ships: STCW regulation V/1 contains requirements for additional training for mariners serving as a master, officer, or a rating onboard tank ships. A mariner who holds a valid Coast Guard STCW 95 certificate, which has been endorsed to allow for service onboard a tank ship, has met these requirements. Guidance regarding the endorsements required for a U.S. mariner serving onboard a U.S. flag tank ship is contained in enclosure (3), section II of NVIC 6-00.

   b. Specialized training for mariners serving onboard ro-ro passenger vessels and non ro-ro passenger vessels *on international voyages*: STCW regulations V/2 and V/3 contain requirements for additional training for mariners serving as a master, officer, or a rating onboard ro-ro and non ro-ro passenger vessels *on international voyages*. Detailed guidance regarding this training is contained in NVIC 6-98, *Special training requirements for Merchant Mariners serving on roll-on/roll-off (RO-RO) passenger ships*, NVIC 4-99, *Special Training Requirements for Merchant Mariners Serving on Passenger Ships other than Roll-On/Roll-Off (Ro-Ro) Passenger Ships*, and NVIC 6-00. Typically, to show compliance with this regulation, a mariner would need to show proof of completion of an approved course. However, due to the limited availability of approved schools and designated examiners for this subject, the Coast Guard will *temporarily* accept a letter, or a logbook entry from the vessel's master certifying that this training has been completed. This temporary policy will only remain in force until sufficient training capacity exists to meet demand, and OCMIs should work with vessel representatives to ensure that this self-certification is completed using the appropriate NVIC as guidance.

6. Recognition of Certificates (regulation I/10 endorsements): STCW regulation I/10 requires all master, officer and radio operator certificates be endorsed as meeting the requirements of the Convention when the mariner is sailing on a vessel whose flag-state is different than the flag state-state which issued the license. This endorsement must come from the flag-state of the vessel, e.g. a French mariner serving onboard a British vessel needs to have a British endorsement on his/her French STCW credential.

   The United States will not issue I/10 endorsements. In general, non-citizens are not permitted to serve in licensed positions on U.S. flag vessels, except in very limited situations such as Offshore Supply Vessels (OSV). OSVs are authorized under 46 U.S.C. 8103 (b) (3) (A) to have non-citizens serve in licensed positions when they are operating from a foreign port. While the Coast Guard will not issue endorsements to the non-U.S. mariners sailing onboard these vessels, we will rely

on the master of the vessel to ensure that the STCW certificates of foreign mariners employed on a U.S. vessel are current and that the mariner possesses skill sets equivalent to that of the U.S. mariner who would normally be serving onboard the vessel. The marine inspector should ensure that the master has made this determination. Evidence can take the form of a letter from the master, or a logbook entry. Detailed guidance regarding this subject is contained in National Maritime Center (NMC) Policy Letter 10-02.

7. Reasons to Expand the Inspection: If, during a scheduled inspection, the marine inspector encounters a situation that establishes clear grounds that watchkeeping standards established in STCW Codes A-VIII are not being maintained, the inspection will be expanded. Situations encountered that establish clear grounds for expanding the inspection include:

   a. the ship has been involved in a collision, allision, grounding, or stranding;

   b. there has been a discharge of substances from the ship when under way, at anchor or at berth which is illegal under any international convention;

   c. the ship has been maneuvered in an erratic or unsafe manner whereby safe navigation practices and procedures have not been followed; and

   d. the ship is otherwise being operated in such a manner as to pose a danger to persons, property or the environment. Items which may be deemed to pose a danger to persons, property or the environment include:

      (1) failure of a crewmember to hold a certificate, to have an appropriate certificate.

      (2) failure to comply with the minimum manning specified on the safe manning document (in most cases this will be the Certificate of Inspection);

      (3) absence in the watch of a person qualified to operate equipment essential to safe navigation; radiocommunications; or pollution prevention;

      (4) failure to comply with the work hour/fitness for duty provisions contained in STCW regulation VIII/1 and section A-VIII/1 of the Code;

      (5) the inability of crewmember(s) to perform their assigned duties during abandon ship or fire fighting drills;

      (6) the inability of watchkeeping officer(s) to communicate with the marine inspector in English;

      (7) the inability of crewmember(s) to operate shipboard equipment necessary to complete operational tests as required during the general examination;

(8) a clear indication, based on personal observations of performance during the boarding, that the master and/or crew are not familiar with their specific duties and with ship arrangements, installations, equipment, procedures and ship characteristics that are relevant to their routine or emergency duties; and

(9) indications that key crew members are not able to communicate or coordinate with each other or with other persons on board.

8. Expanded Inspections: The following guidance should be adhered to when conducting an expanded exam:

a. Prior to conducting an expanded exam the marine inspector should review STCW regulation I/4, and section A-I/4 of the Code. This is especially important if the potential exists the exam will involve an advanced assessment of a mariner's skills. Section A-I/4 of the STCW code specifically states that the only methods for demonstrating competence, and the only criteria to be used, are those that are contained in part A of the code.

b. When clear grounds are established that watchkeeping standards are not being maintained or the ship is otherwise being operated in such a manner as to pose a danger to persons, property or the environment, the inspection will be expanded to focus on correcting the apparent deficiencies. The marine inspector shall notify the master and provide an opportunity to correct the deficiencies at that time (e.g., restructure watch schedules to allow for adequate rest or allow the crew to receive instruction and repeat a fire and boat drill after failing the first time).

c. If the marine inspector believes a mariner does not possess the skills that should have been assessed prior to issuance of his/her STCW endorsement, an advanced assessment of professional skills shall be conducted. As this is a very serious accusation the OCMI should ensure an advanced assessment is conducted properly. An advanced assessment should be performed by a Coast Guard Official with skills similar to that being assessed (e.g. former Deck Watch Officer, Coast Guard Licensed Officer, or a qualified civilian employee of the Coast Guard).

d. The OCMI should request assistance from his/her chain of command if he/she does not believe they have a staff that can adequately assess the skills of the mariner in question.

e. Numerous NVICs that can be used as guidelines for an advanced assessment of seafarers' proficiency have been promulgated (e.g. NVIC 01-02 *Guidelines for seafarers' proficiency in fire fighting*). These NVICs should be used during every advanced assessment. These NVICs are listed in enclosure (4).

f. In some cases the marine inspector will need to make a judgment call regarding the point where the expanded inspection becomes an investigation. As an expanded inspection moves toward an advanced assessment of an individual mariner's skills, the potential for undertaking Enforcement Activities for Suspension and Revocation increases. Likewise many advanced assessments regarding the watchkeeping provisions of STCW may indicate that an enforcement action is necessary. When this happens a member of the unit's Investigation Department should become involved.

g. As the situation becomes an investigation of the mariner's competence, the suspension and revocation regulations contained in 46 CFR Part 5 and 33 CFR Part 20 should be followed. If the situation reveals potential problems with an approved school the mariner attended prior to issuance of a credential, then the regulations contained in 46 CFR 10.302 should be followed.

h. Other options for resolving STCW based deficiencies include having the vessel's owner arrange for:

(1) the mariner to be replaced with one who has the appropriate skills. If this happens, the case should still be referred to the unit's Investigations Department, as an Enforcement Activities for Suspension and Revocation case involving the replaced mariner may be warranted.

(2) an assessment of the mariner's skills to be conducted by a designated examiner or a qualified instructor to the satisfaction of the OCMI.

9. Control procedures: The control procedures for STCW are contained in regulation I/4 and are specific regarding the control action that can be exercised by a duly authorized control officer (e.g. a Coast Guard marine inspector). Typically, a U.S. flag vessel should be issued a "no-sail" CG-835 when the situation warrants such action. The marine inspector should ensure all actions are documented in MISLE. Documentation should be in the same manner used to document a material deficiency onboard a U.S. flag vessel.

10. International Safety Management (ISM) Code: Chapter IX of SOLAS, "*Management for the safe operation of ships*," requires that many vessels subject to STCW also comply with the International Safety Management (ISM) code. If a vessel is found to be in violation of the STCW code it may be an indication of the failure of the vessel's Safety Management System (SMS). The following guidance should be used to determine if a vessel's failure to comply with STCW is a violation of the STCW Code or indication of a greater problem that is best addressed via enforcement of the ISM provisions contained in SOLAS.

a. If the problem is isolated to one or two individuals it should be viewed as an STCW issue, and enforced under the provisions of STCW. An example is one

or two mariners in separate departments who do not hold the proper endorsements.

b. If the problem shows the vessel, or the crewmembers of a particular department, are not in compliance with the STCW Code this should be taken as an indication of a failure of the vessel's SMS, and is a violation of 33 CFR Part 96. An example of this would be if an entire department, or a large percentage of the crew has not received vessel familiarization training. Guidance regarding enforcement of ISM is contained in the Marine Safety Manual (MSM), Volume II, section E.3.A.

c. As previously discussed in paragraph 8.f, a marine inspector should engage the Investigations Department as an expanded exam begins to show justification for further investigation. The investigations officer can assist the inspector with determining if the non-conformity is indicative of a failure of the SMS and if an enforcement action is warranted.

I. General Examination

A.___ Certificate of Inspection (COI) Safe Manning Document

Ship is manned in accordance with its COI/Safe Manning Document (STCW I/14.2)

B.___ Certificates Endorsements and Training

Master and Chief Engineer (STCW II/2, III/2)
Navigating and Engineering Officer (STCW II/1, III/1)

- All Certificates are valid and for appropriate duties assigned
- All crewmembers have completed vessel familiarization training.
- All crewmembers required to have Basic Safety Training have completed training as appropriate.

C.___ Crew

Certificates for ratings (STCW II/4, III/4)

_____

Minimum age (16 yrs)

_____

D.___ Rest Periods

Watch Schedule provides for appropriate amount of rest (STCW VIII/1). Watch schedule to be posted

- at least 10 hrs in any 24 hr period
- if divided into 2 periods, one at least 6hrs in length
- exceptions?

II. Expanded Examination

A. Clear Grounds for Expanded Examination (notify the master):

_____

_____

B. Basic Assessment - Can the situation be corrected at the time of the examination?

___ Yes ___ No

If Yes, how corrected?

_____

_____

If No, Advanced Assessment Required? ___ Yes ___ No

C. Advanced Assessment

_____

_____

_____

_____

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Background, References, and Definitions

1. BACKGROUND.

   a. The STCW Convention was adopted in 1978 and entered into force on April 28, 1984. The United States did not become a Party to the convention until 1991. The final step in the United States' implementation of the Convention was the issuance of the standard STCW Endorsement Form to U.S. mariners, which began October 1, 1996, certifying that U.S. licenses are issued in accordance with the STCW.

   b. By 1993, significant limitations to STCW had become apparent. They included several key requirements that were vague and left too much to the discretion of the Parties; were absent of clear, uniform standards of competence; provided limited provisions for port state control enforcement actions; and contained outdated technical references that failed to account for modern shipboard systems, job descriptions and new approaches to maritime training.

   c. In 1993, the International Maritime Organization (IMO) embarked on a comprehensive revision of STCW to establish the highest practicable standards of competence and to address human error as a major cause of maritime casualties. The amendments that were developed and eventually adopted by a Conference of Parties on July 7, 1995, addressed many of the gaps in the original treaty. These amendments address: port state control; communication of information to IMO to allow for mutual oversight; and responsibilities of all Parties to ensure that seafarers meet objective standards of competence. The 1995 amendments entered into force on February 1, 1997. On June 26, 1997, the U. S. Coast Guard published an Interim Rule to implement the amendments for the U.S. domestic fleet. This rule became effective on July 28, 1997. The rule has been promulgated in 46 CFR 15.1101- 15.1111.

   d. While the 1995 amendments have been in effect since 1997, many mariners were allowed to sail on STCW endorsements issued under the 1978 Convention (1978 STCW endorsements). These endorsements were to expire on 01 February 2002. In January 2002, the IMO Sub-Committee on Standards of Training and Watchkeeping (STW) urged member nations not detain vessels not yet in compliance with respect to STCW certificates and endorsements until 01 August 2002. The U.S. concurred with this recommendation and interim enforcement guidance was promulgated in COMDT MSG 302351Z Jan 02. This policy letter amplifies the guidance contained in the message.

2. Navigation and Vessel Inspection Circulars (NVIC's): The following NVIC's were promulgated to issue guidance regarding the training requirements for U.S. mariners, and issuance of U.S. STCW certificates by officials at Coast Guard Regional Exam Centers. However, much of guidance is applicable to those enforcing STCW,

especially during the course of an expanded exam. Note this list may not be all-inclusive as many draft NVIC's are currently in routing and will be promulgated within the next several months.

05-02 Guidelines for assessing merchant mariners through demonstrations of proficiency as officers in charge of navigational watches and master on ships of less than 500 gross tonnage as measured under the international tonnage convention (ITC) while engaged on near-coastal voyages.

03-02 Guidelines for assessment of Merchant Mariners' proficiency in survival-craft or rescue-boats through demonstration of skills.

02-02 Guidelines for assessment of seafarers' proficiency for certification as ratings, forming part of a navigational watch through demonstrations of skills.

01-02 Guidelines for seafarers' proficiency in fire fighting.

09-01 Guidance on STCW Quality Standards Systems (QSS) for Merchant Mariner Courses or Training Programs.

02-01 Qualifications Of Engineer Officers Serving On Seagoing Vessels With Gas Turbine Main Propulsion.

07-00 Clarification Of The Application Of The International Convention On Standards Of Training, Certification And Watchkeeping For Seafarers (STCW), 1978, As Amended, To Vessels Less Than 200 Gross Register Tons (GRT).

06-00 Issuance Of International Forms Required By The STCW To Validate Merchant Mariner Licenses And Documents.

05-00 Guidance on performance measures used to assess seafarers' proficiency in programs in Basic Safety Training meeting the requirements of the International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978 as amended.

04-00 Renewal for Continuity of Licenses and qualified ratings issued under The International Convention on Standards of Training, Certification and Watchkeeping for Seafarers, 1978 (STCW-78).

03-00 Manning And Training Guidance For Fast Rescue Boats On United States Vessels.

05-99 Guidance Regarding Voluntary Compliance with the International Management Code for the Safe Operation Of Ships and for Pollution Prevention (International Safety Management (ISM) Code.

04-99 Special Training Requirements for Merchant Mariners Serving on Passenger Ships other than Roll-On/Roll-Off (Ro-Ro) Passenger Ships.

01-99 Refresher Courses for Continued Professional Competence for License Renewals.

07-98 The International Maritime Organization Standard Marine Communication Phrases.

06-98 Special training requirements for Merchant Mariners serving on roll-on/roll-off (RO-RO) passenger ships.

07-97 Guidance on STCW Quality Standards Systems (QSS) for Merchant Mariners courses or training programs.

06-97 Policy on Qualified Instructors and Designated Examiners who will train or assess the competence of Merchant Mariners.

05-97 Guidance on Coast Guard Accepted Training Record Books.

04-97 Guidance on company roles and responsibilities under the 1995 Amendments to the International Convention on STCW.

3. Websites: The following websites contain useful information regarding the application of the STCW Code.

   http://www.uscg.mil/hq/g-m/nmc/compl/ : G-MOC website, among other items COMDT MSG 30235ZJAN02, which promulgated interim guidance for STCW. This site also has information and links regarding which flag states are signatory to STCW and the "white list."

   http://www.uscg.mil/hq/g%2Dm/nmc/web/index.htm: National Maritime Center (NMC) website. Contains links to numerous STCW related websites, including the NMC STCW website. This website also has links to the NVIC's and Marine Safety Manual sites.

   www.uscg.mil/NMC/assessorman.pdf: link will take you to *CONDUCTING MARINER ASSESSMENTS: A Practical Manual for Assessors.*

4. Definitions: most definitions used in this NVIC are contained in Section A-I/1 of the STCW Code. Terms used in this NVIC that are not defined in the STCW Code follow:

   Assessor: A "shipboard assessor" is a mariner who has been authorized by the Coast Guard to perform assessments of a mariner's practical skills on board a vessel. To qualify as a shipboard assessor, the mariner must hold the professional qualifications as stated in the appropriate policy letter and have read the document

CONDUCTING MARINER ASSESSMENTS: A Practical Manual for Assessors available on the World Wide Web at www.uscg.mil/NMC/assessorman.pdf.

Designated Examiner (D/E): The following is taken directly from NVIC 6-97: The term "Designated Examiner" is defined by regulation 46 CFR 10.103 and 46 CFR12.01-6 as "a person who has been trained or instructed in techniques of training or assessment and is otherwise qualified to evaluate whether a candidate for a license, document, or endorsement has achieved the level of competence required to hold the license, document, or endorsement. This person may be designated by the Coast Guard or by a Coast Guard-approved or accepted program of training or assessment."

Endorsement or Rating: this is a term used for the actual verbiage endorsed on a mariner's STCW certificate and shows that the mariner has met the *evaluation criteria* for a particular skill set as per STCW. The term *evaluation criteria* is defined in STCW section A-I/1.

Expanded Exam: An assessment or an expanded exam is defined as those assessments undertaken in accordance with Section A-I/4, par. 4 of the STCW Code.

Qualified Instructor: The following is taken directly from NVIC 6-97: The term "Qualified Instructor" is defined in regulations 46 CFR 10.103 and 46 CFR 12.01-6 as "a person who has been trained or instructed in instructional techniques and is otherwise qualified to provide required training to candidates for licenses, documents, and endorsements."

"White list"/ nations on the "white list": these are those nations whose STCW implementation schemes have been reviewed by a panel of competent persons, assigned by the IMO, and have been found to give full and complete effect to the convention. It is in a nations best interest to be on the "white list."