

EUROOPAN YHTEISÖJEN KOMISSIO

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Ehdotus

NEUVOSTON ASETUKSEKSI (EY)

RO-RO-MATKUSTAJA-ALUSTEN TURVALLISUUSJOHTAMISTA

(komission antama)

EXPLANATORY MEMORANDUM

GENERAL INTRODUCTION

1. The tragedy of the sinking of the Estonian Ro-Ro ferry *Estonia* on its voyage from Tallin to Stockholm on 28 September 1994, causing the death of more than 900 people, has drawn once more the attention of all concerned to the level of urgency of taking measures to enhance the safety of passenger ships. This is one more in a long series of ferry accidents of which the most notorious were the *Scandinavian Star* and the *Herald of Free Enterprise*. The table in the annex shows the circumstances and the casualties relating to other major ferry disasters since 1980.

2. In February 1993, the Commission submitted to the Parliament and the Council its Communication on a Common Policy on Safe Seas¹, which included an action programme relating also to the enhancement of the safety of passenger vessels. Several concrete measures on the training of crews, on classification societies and on port State Control will significantly improve the safety of Ro-Ro ferries. The Council has already adopted on 22 November 1994 the two first proposals. The Commission services are presently drafting also a proposal on the construction standards for passenger vessels not yet covered by international conventions.

3. An important element is still missing : it is the safety management of Ro-Ro ferries. Most high risk industries have clear and detailed safety rules and procedures which affect all aspects of their activities. The shipping industry is lagging behind in this respect. This has been recognised by the International Maritime Organization (IMO) where further work has led to the adoption of IMO Resolution A.741(18) on the International Management Code for the Safe Operation of Ships and for Pollution Prevention (ISM Code). This Resolution will then be integrated into the SOLAS 74 Convention (International Convention on the Safety of Life at Sea). However, it will apply to Ro-Ro ferries only from 1 July 1998. Moreover the wording of the ISM Code reveals its recommendatory nature.

4. The Commission, in paragraph 28 of Chapter 2 of its above mentioned Communication has already indicated that a specific mandatory application of this Code to passenger vessels needed examination. The timescale proposed by the IMO (July 1998) is too far ahead. Therefore, the Commission proposes to bring this date closer (July 1996, as suggested by the Council in its Resolution of 22 December 1994²) and to ensure that all provisions of that Code

¹ COM(93) 66 final of 24 February 1993

² OJ C 379 of 31.12.94 p.8

are made mandatory for all companies operating Ro-Ro ferries to or from ports in the Community. This would ensure that as from 1 July 1996 all companies operating Ro-Ro ferries regardless of the flag they fly have an integrated safety management policy to be effectively applied on board of all their Ro-Ro ferries.

NEED FOR A COUNCIL REGULATION

5. a) What are the objectives of the envisaged action in relation to the obligations of the Community?

The obligations of the Community in this context are the achievement of safety in maritime transport (Article 84(2) of the Treaty linked with Article 75(1)(c)). More specifically the objective of the action proposed is the safety of Ro-Ro passenger ferries operating a regular service from ports in the Community. This is in fact a component of the Common Policy on Safe Seas adopted by the Commission on 23 February 1993. Furthermore the Council has adopted on 22 December 1994 a Resolution on the safety of Ro-Ro passenger ferries³ which invites the Commission to submit a proposal on the mandatory and anticipated implementation of the International Safety Management Code (IMO Resolution A.741 (18)) for all Ro-Ro passenger ferries operating regular services to or from European ports, in compliance with international law.

- b) Is the envisaged action solely the responsibility of the Community or a responsibility shared with the Member States?

It is a responsibility shared between the Community and the Member States

- c) What is the Community dimension of the problem?

Millions of European citizens and many others travelling within Europe have recourse to this kind of transport to or from hundreds of ports in the Community. All Member States are concerned as flag States. Thirteen of them are also concerned since they are responsible for the safe operation of regular Ro-Ro ferry lines to and from their ports. Furthermore, distortions of competition between ports in the EC must also be avoided.

- d) What is the most efficient solution, as between Community resources and Member States' resources?

Action at Community level will ensure implementation of the provisions of the

³ see footnote 2 on page 1

International Safety Management Code (ISM Code) anticipatively, simultaneously, on a mandatory basis and without distortion of competition between ferry services as well as ports throughout the Community.

e) What is the concrete added value of the action envisaged by the Community and what would be the cost of inaction?

The concrete added value of this Regulation is the enhancement of safety at sea at three levels:

- a) the regime of the Regulation will be operational two years before the ISM regime of the IMO;
- b) the provisions of the ISM Code are not mandatory, and this flaw will be remedied by the Regulation;
- c) the safety management system of each Ro-Ro ferry operating on a regular service to or from a port in the Community will have to be considered satisfactory by a Member State. This is particularly important because Member States are reluctant to rely solely upon the administration of many third flag States to ensure adequate compliance with safety rules in general.

The cost of inaction described in terms of money is limited to the value of damage to Ro-Ro ferries and to maritime infrastructures and to the cost of restoring maritime approaches. However the main cost of inaction is to be paid in human lives as the recent sinking of the *Estonia* has demonstrated.

f) In what ways can the Community take action?

The only way for the Community to achieve the goal of anticipated and mandatory enforcement of the provisions of the ISM Code as already agreed by the Council is to act by way of a Regulation fixing an early date for direct application.

g) Is uniform legislation necessary or does a Directive setting the general objectives and leaving the execution to the Member States suffice?

Uniform legislation in the form of a regulation is necessary for the reasons set out above. In compliance with the principle of proportionality, the proposed regulation will establish at Community level rules for the safety management of Ro-Ro passenger vessels, which have been accepted at international level and supported by all Member States. Acting by way of a directive would imply an additional period for transposition into the national laws of the Member States long enough for all parliamentary procedures to be respected and would therefore defeat the purpose of an application of the Code well in advance of the date set by the IMO.

CONTENT OF THE REGULATION

6. The Regulation lays down provisions for the mandatory enforcement of the provisions of the ISM Code for all Ro-Ro ferries operating on a regular service to or from ports in the European Community.

7. As from the entry into force of the Regulation on 1 January 1996, companies will need to develop safety management policies to be applied in the company and on board of all the Ro-Ro ferries they operate. These policies must be effective from 1 July 1996, otherwise the said Ro-Ro ferries will not be allowed to operate.

8. Authorisation to operate from its ports emanates from each Member State. Therefore Member States must use this power to ensure that companies comply with the safety management requirements imposed on them by the Regulation, by controlling both the companies and their vessels.

(a) For a vessel flying the flag of a Member State, it is for that Member State to control compliance. For a company located in a Member State, it is also for that Member State to control compliance for the company. Once compliance at company level has been certified by one Member State, other Member States can and must rely upon such certification.

(b) For a vessel flying the flag of a third State, the Member State to the port of which the Ro-Ro ferry operates must verify that that vessel and the company operating it comply with the provisions of the Regulation to the satisfaction of that Member State.

(c) In the case of companies located outside the Community, a Member State may satisfy itself of compliance of the company on the sole basis of documentary evidence. In cases where the Member State deems that it may not rely solely on documentary evidence, it may require any other evidence.

(d) This Regulation does not address the case of companies located in the Community but operating only Ro-Ro ferries outside the Community. The level of safety management of such companies and their vessels will be upgraded in due time through the application of the ISM Code through the SOLAS Convention.

In cases where a Member State detects that a company operating on a regular service from its ports is a danger to safety, although a valid Document of Compliance has been issued or recognised, it may suspend the operation until the danger has been removed. The suspension must rapidly be notified to the Commission, which will look into the matter and, with the assistance of a committee, take a decision on whether the suspension is justified or whether to revoke the same.

9. The Regulation specifies that compliance must be controlled at least every year, and that if a Member State is to delegate or rely upon another body to do so, it may only delegate to or rely upon an organisation recognised as complying with the quality requirements imposed by Council Directive 94/57/EC of 4 November 1994 on common rules and standards for ship inspection and survey organisations and for the related activities of maritime administrations⁴.

10. The Commission, with the help of the committee, may amend the specific provisions drawn from the ISM Code in order to adapt them to future developments, mainly in international fora.

In view of such developments, the Commission may through the same procedure amend the definition of a recognised organisation and insert into the annex guidelines for administrations on the implementation of the ISM Code. This could be necessary to take due account of new IMO Resolutions related to the implementation of the ISM Code, such as the guidelines which are still under preparation in the IMO framework.

Another task for the committee is the one mentioned above i.e. to advise upon the maintenance or not of suspension measures by Member States.

SPECIAL CONSIDERATIONS

Article 1

This article defines the purpose of the Regulation: to enhance safety at sea and prevention of marine pollution through the establishment and maintenance by companies of adequate safety management systems.

Article 2

This article contains definitions of the key words of the Regulation.

Article 3

This article defines which companies are covered by the Regulation, namely companies operating Ro-Ro ferries on a regular service to or from ports in the Community.

⁴ OJ L 319 of 12.12.94 p.20

Article 4

The obligations of companies are laid down in this article. They are to comply with the provisions of the ISM Code as they stand in the Annex, but as if they were mandatory. Fulfilment of this obligation will be an essential condition for authorisation to operate Ro-Ro ferries on a regular service to or from ports in the Community.

Article 5

Here the obligations of the Member States as flag States are laid down. These obligations concern the certification by Member States of compliance with the Annex by companies operating Ro-Ro ferries flying their flags.

Paragraph 1 states that Member States are responsible for the control of compliance by companies operating Ro-Ro ferries flying their flag.

Paragraph 2 regulates the possibility for Member States to delegate to or rely upon persons or bodies external to their administration fully or in part, by limiting this possibility to recognised organisations in the meaning of Council Directive 94/57/EC on common rules and standards for ship inspection and survey organisations and for the relevant activities of maritime administrations.

Paragraph 3 establishes the principle of mutual recognition of Documents of Compliance issued by or on behalf of other Member States for companies established on their territory, for the purpose of certification.

Paragraph 4 states that the control referred to in the first two paragraphs must be made at least every year.

Article 6

Paragraph 1 obliges Member States to ensure that companies and Ro-Ro ferries comply with this Regulation as a condition to operate regular Ro-Ro ferry services from their ports.

Paragraph 2 prevents Member States from refusing authorisation to operate on a regular service from their ports for Ro-Ro ferries carrying certificates issued by other Member States, for reasons of non compliance with the provisions of the ISM Code. Such certificates must be considered satisfactory for that purpose.

Paragraph 3 addresses the question of certificates issued by third States. Member States may recognise that such certificates are satisfactory, and allow Ro-Ro ferries carrying such certificates to operate on a regular service from their ports. It is important to note that this paragraph does not touch upon the recognition by Member States of the intrinsic validity of certificates issued by third States. Vessels carrying such certificates will continue to be allowed to enter into ports of the Community. What is said here is that *before allowing to operate a regular service* from a port in a Member State, the latter Member State has the right

and the duty to make sure that the provisions of the ISM Code embodied in the Regulation have been complied with, and that it may consider it a sufficient guarantee that the relevant certificates have been issued by a competent third State administration or on its behalf.

Article 7

A Member State may suspend the operation of the service for reasons of serious danger to safety or environment, although the company holds a document of compliance and bring the matter before the Commission. The Commission, assisted by an advisory committee, will then decide whether the suspension is justified and may continue or not.

Article 8

Article 8 organises the possibility for the Commission to amend the definition of "Recognised Organisation", "ISM Code" and its corollary annex, and to take decisions as regards suspensions of authorisation by Member States, with the assistance of an advisory committee.

Article 9

The Commission is assisted by a committee acting in accordance with an advisory procedure (procedure 1 of Council Decision 87/373/EEC of 13 July 1987 laying down the procedures for the exercise of implementing powers conferred on the Commission⁵). The Committee is the one set up by article 12 of Council Directive 93/75/EC of 13 September 1993 concerning minimum requirements for vessels bound for or leaving Community ports and carrying dangerous or polluting goods⁶. This Committee is also the one foreseen in the Proposal for a Council Directive concerning the enforcement, in respect of shipping using Community ports and sailing in the waters under the jurisdiction of the Member States, of international standards for ship safety, pollution prevention and shipboard living and working conditions⁷.

Article 10

The Regulation is to enter into force on 1 January 1996, and be applied by 1 July 1996, these being the earliest possible dates, in order to anticipate the entry into force of the ISM Code at international level.

⁵ OJ L 197 of 18.7.87 p.33

⁶ OJ L 247 of 5.10.93 p. 19

⁷ OJ C 107 of 15.4.94 p.14

Annex

The Annex contains the International Safety Management Code adopted by the International Maritime Organization through Assembly Resolution A.741(18) of 4 November 1993.

ANNEX
Major ferry disasters besides the Estonia since 1980

vessel	date of accident	place of accident	cause of accident	no. of deaths
Don Juan	April 1980	Philippines	collision with barge	over 1000
Tampomas II	January 1981	Indonesia	fire on board	431 officially
Sarnia	May 1986	Meghna River, Bangladesh	capsized in storm	600
Admiral Nakhinov	August 1986	Black Sea	collision with cargo ship	425
Herald of Free Enterprise	March 1987	Zeebrugge, Belgium	door left open	193
Dona Paz	December 1987	Subuyan Sea, Philippines	collision with tanker	4,386
Rosalie	1988	San Bemandino Straits, Philippines	sank	400
Bintang Madura	1988	Java Sea, Indonesia		over 200
Scandinavia Star	1990	Skaggerak	fire	158
Egyptian owned ferry	December 1991	near Safaga port	coral reef	460
Moby Prince	1991	off Genoa, Italy	collision	140
Neptune	1993	off Port-au-Prince, Haiti	sank	about 2000
Jan Heweliusz	January 1993	Baltic Sea	heavy seas	over 50
Bangladesh ferry	August 1994	Meghna River	whirlpool	350
Bangladesh ferry	October 1994	Bay of Bengal	rough weather	over 100

source: ITF News, 17 November 1994, Page 28

NEUVOSTON ASETUKSEKSI (EY)

RO-RO-MATKUSTAJA-ALUSTEN TURVALLISUUSJOHTAMISTA

EUROOPAN UNIONIN NEUVOSTO, joka

ottaa huomioon Euroopan yhteisön perustamissopimuksen, erityisesti sen 84 artiklan 2 kohdan ja perustamissopimuksen 189c artiklassa tarkoitettua menettelyä noudattaen,

ottaa huomioon komission ehdotuksen¹,

yhteistyössä Euroopan parlamentin kanssa²,

ottaa huomioon talous- ja sosiaalikomitean lausunnon³,

sekä katsoo, että

yhteisö on erittäin huolestunut ihmishenkiä vaatineista laivaonnettomuuksista,

kansainvälinen merenkulkujärjestö antoi alusten turvallista toimintaa sekä ympäristön pilaantumisen ehkäisemistä koskevan kansainvälisen turvallisuusjohtamiskoodin (kansainvälisen merenkulkujärjestön päätöslauselma A.741 (18)) 4 päivänä marraskuuta 1993 jäsenvaltioiden läsnäollessa ja sitä sovelletaan vuonna 1974 tehtyyn kansainväliseen yleissopimukseen ihmishengen turvallisuudesta merellä sisällytettynä ro-ro-matkustaja-aluksiin 1 päivästä heinäkuuta 1998,

kansainvälinen turvallisuusjohtamiskoodi ei vielä ole velvoittava, vaan se on luonteeltaan suositus,

ihmisten turvallisuutta merellä voidaan parantaa tehokkaasti soveltamalla turvallisuusjohtamiskoodia tiukasti ja velvoittavasti,

¹ EYVL N:o C ...

² EYVL N:o C ...

³ EYVL N:o C ...

yhteisön kiireellisin asia on ro-ro-matkustaja-alusten turvallisuusjohtaminen,

neuvosto kehotti ro-ro-matkustajalauttojen turvallisuudesta 22 päivänä joulukuuta 1994 antamassaan päätöslauselmassaan komissiota laatimaan kansainvälisen turvallisuusjohtamiskoodin tulevaa täytäntöönpanoa luonteeltaan velvoittavana koskevan ehdotuksen Euroopan satamista tai Euroopan satamiin säännöllistä liikennettä harjoittavien ro-ro-matkustajalauttojen osalta kansainvälisen lain mukaisesti,

tiukkaa ja velvoittavaa soveltamista vaaditaan merikelpoisia ro-ro-matkustajalauttoja käyttävien yhtiöiden turvallisuusjohtamisjärjestelmien perustamisen ja niiden oikean ylläpidon varmistamiseksi sekä yhtiötasolla että yksittäisillä laivoilla,

alusten turvallisuus on lippuvaltion ensisijainen vastuu ja jäsenvaltiot voivat varmistaa, että niiden lipun alla purjehtivat lautat ja tällaisia lauttoja käyttävät yhtiöt ovat asianomaisten turvallisuusjohtamissääntöjen mukaiset; jäsenvaltioiden ainoa tapa varmistaa kaikkien kotisatamastaan säännöllistä liikennettä harjoittavien tai tällaista harjoittamista toivovien ro-ro-lauttojen turvallisuus, niiden lipusta riippumatta, on vaatia, että ne täyttävät tehokkaasti turvallisuussäännöt, jolloin ne voivat harjoittaa säännöllistä liikennettä kotisatamistaan,

jäsenvaltiolla on oltava mahdollisuus keskeyttää tiettyjen ro-ro-lauttojen toiminta kotisatamistaan, jos se katsoo niiden aiheuttavan vakavan uhan turvallisuudelle tai ympäristölle, jollei komission neuvoa-antavan komitean avustamana tekemästä päätöksestä muuta johdu,

turvallisuussääntöjen noudattamisen vuosittaisen vahvistamisen olisi taattava yhtiöiden jatkuva pyrkimys ylläpitää vaadittua turvallisuusjohtamistasoa,

jäsenvaltiot saattavat pitää tarpeellisena valtuuttaa erityiselimistä tai antaa niiden hoitaa tehtävänsä täyttääkseen tässä asetuksessa säädetyt velvollisuutensa; sopiva tapa varmistaa valvonnan

yhdenmukainen ja riittävä taso on vaatia, että tällaiset elimet noudattavat alusten tarkastamiseen ja katsastamiseen valtuutettuja laitoksia sekä merenkulun viranomaisten asiaan liittyviä toimia koskevista yhteisistä säännöistä ja standardeista annetun neuvoston direktiivin 94/57/EY⁴ vaatimuksia,

luonteeltaan neuvoa-antavaan komiteaan turvautuminen on tarpeen komission avustamiseksi, jotta asetuksella asetetut standardit, myös tunnustetuille järjestöille määrätyt vaatimukset, pysyvät riittävinä ja mahdollisimman yhdenmukaisina kansainvälisten standardien kanssa,

toimenpiteet yhteisötasolla ovat paras tapa varmistaa koodin määräysten tuleva täytäntöönpano luonteeltaan velvoittavana ja sen soveltamisen tehokas valvonta, välttämällä samalla eri yhteisön satamien ja ro-ro-lauttojen välisen kilpailun vääristymistä; ainoastaan sellaisenaan sovellettava asetus voi varmistaa koodin määräysten tulevan täytäntöönpanon luonteeltaan velvoittavana; tuleva täytäntöönpano edellyttää, että asetusta sovelletaan 1 päivästä heinäkuuta 1996.

ON ANTANUT TÄMÄN ASETUKSEN:

1 artikla

Tämän asetuksen tarkoitus on parantaa säännöllistä liikennettä Euroopan yhteisön satamista tai sen satamiin harjoittavien ro-ro-lauttojen turvallisuusjohtamista, toimintaa ja epäpuhtauksien estämistä varmistamalla:

- yhtiöiden aluksilla ja maalla suoritettavien turvallisuusjohtamisjärjestelmien perustaminen ja oikea ylläpito, sekä
- niiden lippu- ja satamavaltioiden hallintojen suorittama valvonta

2 artikla

⁴ EYVL L 319, 12.12.1994, s. 20

Tässä asetuksessa ja kansainvälisessä turvallisuusjohtamiskoodissa tarkoitetaan ilmaisulla

'ro-ro-lautta' merikelpoista alusta, johon voidaan lastata ja josta voidaan purkaa maantie- ja raideajoneuvoja ja joka on tarkoitettu yli 12 matkustajalle,

'yhtiö' ro-ro-lautan omistajaa tai muuta järjestöä tai henkilöä, kuten johtajaa, tai bareboat-rahtaajaa, jolla on omistajan sijasta vastuu ro-ro-lautan toiminnasta,

'tunnustettu järjestö' alusten tarkastamiseen ja katsastamiseen valtuutettuja laitoksia sekä merenkulun viranomaisten asiaan liittyviä toimia koskevista yhteisistä säännöistä ja standardeista 22 päivänä marraskuuta 1994 annetun neuvoston direktiivin 94/57/EY⁵ säännösten mukaisesti tunnustettua elintä,

'kansainvälinen turvallisuusjohtamiskoodi' tämän asetuksen liitteenä olevaa 4 päivänä marraskuuta 1993 tehdyllä koonnospäätelausemalla A.741(18) annettua kansainvälisen merenkulkujärjestön antamaa alusten turvallista toimintaa sekä ympäristön pilaantumisen ehkäisemistä koskevaa kansainvälistä turvallisuusjohtamiskoodia,

'hallinto' sen valtion hallitusta, jonka lipun alla ro-ro-lautta saa purjehtia,

'vaatimustenmukaisuusasiakirja' tämän asetuksen mukaisesti yhtiöille annettua asiakirjaa,

'turvallisuusjohtamistodistus' ro-ro-lautoille tämän asetuksen mukaisesti annettua todistusta.

3 artikla

Tätä asetusta sovelletaan yhtiöihin, niiden rekisteröinti-, sijoittautumis- tai liiketoimintapaikasta riippumatta, joilla on

⁵ EYVL N:o L 319, 12.12.1994, s. 20

ainakin yksi minkä lipun alla tahansa purjehtiva ro-ro-lautta, joka harjoittaa säännöllistä liikennettä Euroopan yhteisön satamasta tai sen satamaan.

4 artikla

Kaikkien yhtiöiden on noudatettava kansainvälisen turvallisuusjohtamiskoodin, sellaisena kuin se on muutettuna tällä asetuksella, 1.2 - 13.5 kohdan määräyksiä ikään kuin ne olisivat velvoittavia eivätkä ainoastaan suosituksia, jotta ne voivat harjoittaa säännöllistä liikennettä Euroopan yhteisön satamasta tai sen satamaan.

5 artikla

1. Jäsenvaltioiden on noudatettava yhtiöiden ja ro-ro-lauttojen osalta kansainvälisen turvallisuusjohtamiskoodin, sellaisena kuin se on muutettuna tällä asetuksella, 13.2, 13.4 ja 13.5 kohdan määräyksiä, ikään kuin ne olisivat velvoittavia eivätkä ainoastaan suosituksia.

2. Tämän asetuksen mukaisesti jäsenvaltiot voivat ainoastaan valtuuttaa täysin tai osittain tunnustetun järjestön tai antaa sellaisen hoitaa tehtävänsä.

3. Kansainvälisen turvallisuusjohtamiskoodin, sellaisena kuin se on muutettuna tällä asetuksella, 13.2 kohdan mukaisesti muiden jäsenvaltioiden on hyväksyttävä sillä alueella, jossa yhtiö harjoittaa liiketoimintaansa, yhden jäsenvaltion viranomaisten taikka niiden valtuuttaman tunnustetun yhtiön antama vaatimustenmukaisuusasiakirja.

4. Kansainvälinen turvallisuusjohtamiskoodin, sellaisena kuin se on muutettuna tällä asetuksella, 13.5 kohdan mukaisesti jaksoittainen vahvistaminen on tehtävä vähintään kerran vuodessa.

6 artikla

1. Jäsenvaltioiden on vakuututtava siitä, että tämän asetuksen

säännöksiä noudatetaan tehokkaasti ennen kuin ne sallivat yhtiöiden harjoittaa säännöllistä ro-ro-liikennettä niiden satamaan tai niiden satamasta.

2. Edellä 1 kappaleen mukaisesti jokaisen jäsenvaltion on hyväksyttävä toisen jäsenvaltion viranomaisien antamat todistukset.

3. Jokaisen jäsenvaltion on tunnustettava kolmansien valtioiden hallintojen tai niiden valtuuttamien tunnustettujen järjestöjen antamat vaatimustenmukaisuustodistukset ja turvallisuushallintotodistukset, jos ne ovat vakuuttuneita siitä, että ne takaavat tämän asetuksen säännösten noudattamisen.

7 artikla

Jos jäsenvaltio katsoo, ettei yhtiö, vaikka sillä olisi vaatimustenmukaisuusasiakirja, voi harjoittaa säännöllistä liikennettä sen satamaan tai satamista, koska se muodostaa vakavan vaaran ihmishengelle tai omaisuudelle tai ympäristölle, voidaan tällainen toiminta keskeyttää kunnes vaara on poistettu.

Edellä mainituissa olosuhteissa sovelletaan seuraavaa menettelyä:

a) jäsenvaltioiden on ilmoitettava komissiolle ja muille jäsenvaltioille päätöksestään välittömästi ja annettava toteennäytetyt syyt siihen,

b) komission on tutkittava onko keskeytys oikeutettu turvallisuudelle tai ympäristölle aiheutuvan vakavan vaaran vuoksi,

c) jäljempänä 9 artiklan 2 kohdassa säädettyä menettelyä noudattaen komission on ilmoitettava jäsenvaltiolle onko sen keskeytyspäätös oikeutettu turvallisuudelle tai ympäristölle aiheutuvan vakavan vaaran vuoksi ja, jos se ei ole oikeutettu, päätettävä jäsenvaltion määräämän keskeytyksen peruuttamisesta.

8 artikla

Jotta kansainvälisellä tasolla tapahtunut kehitys otettaisiin huomioon

1. edellä 2 artiklassa säädettyä 'kansainväliseen turvallisuusjohtamiskoodin' määritelmää,

2. liitettä, ja

3. edellä 2 artiklassa säädettyä 'tunnustetun järjestön' määritelmää

saadaan muuttaa, erityisesti jotta liitteisiin voitaisiin lisätä ohjeita hallintoja varten kansainvälisen turvallisuusjohtamiskoodin täytäntöönpanemiseksi 9 artiklan 2 kohdassa säädetyn menettelyn mukaisesti.

9 artikla

1. Komissiota avustaa neuvoston direktiivin 93/75/EY⁶ 12 artiklan 1 kohdassa perustettu komitea.

2. Jos tähän kohtaan viitataan, sovelletaan seuraavaa menettelyä:

a) komission edustajan on tehtävä 1 kohdassa tarkoitettulle komitealle luonnos toteutettavista toimenpiteistä,

b) komission on annettava lausuntonsa määräajassa, jonka puheenjohtaja voi asettaa asian kiireellisyyden mukaan, tarvittaessa äänestämällä,

c) lausunto on kirjattava pöytäkirjoihin; lisäksi jokaisella jäsenvaltiolla on oikeus saada kantansa merkityksi pöytäkirjaan,

d) komission on otettava erittäin tarkasti huomioon komitean antama lausunto. Sen on ilmoitettava komissiolle tavasta, jolla

⁶ EYVL N:o L 247, 5.10.1993, s. 19 vaarallisia tai ympäristöä pilaavia aineita kuljettavia aluksia koskevista vähimmäisvaatimuksista niiden ollessa matkalla yhteisön merisatamiin tai poistuessa sieltä

sen lausunto on otettu huomioon.

10 artikla

Tämä asetus tulee voimaan 1 päivänä tammikuuta 1996. Sitä sovelletaan 1 päivästä heinäkuuta 1996.

Tämä asetus on kaikilta osiltaan velvoittava ja sitä sovelletaan sellaisenaan kaikissa jäsenvaltioissa.

ANNEX

INTERNATIONAL MANAGEMENT CODE FOR THE SAFE OPERATION OF SHIPS AND FOR
POLLUTION PREVENTION (INTERNATIONAL SAFETY MANAGEMENT (ISM) CODE)

SAFETY AND POLLUTION PREVENTION MANAGEMENT REQUIREMENTS

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PREAMBLE

1 The purpose of this Code is to provide an international standard for the safe management and operation of ships and for pollution prevention.

2 The Assembly adopted resolution A.443(XI) by which it invited all Governments to take the necessary steps to safeguard the shipmaster in the proper discharge of his responsibilities with regard to maritime safety and the protection of the marine environment.

3 The Assembly also adopted resolution A.680(17) by which it further recognized the need for appropriate organization of management to enable it to respond to the need of those on board ships to achieve and maintain high standards of safety and environmental protection.

4 Recognizing that no two shipping companies or shipowners are the same, and that ships operate under a wide range of different conditions, the Code is based on general principles and objectives.

5 The Code is expressed in broad terms so that it can have a widespread application. Clearly, different levels of management, whether shore-based or at sea, will require varying levels of knowledge and awareness of the items outlined.

6 The cornerstone of good safety management is commitment from the top. In matters of safety and pollution prevention it is the commitment, competence, attitudes and motivation of individuals at all levels that determines the end result.

1 GENERAL

1.1 Definitions

1.1.1 "International Safety Management (ISM) Code" means the International Management Code for the Safe Operation of Ships and for Pollution Prevention as adopted by the Assembly, as may be amended by the Organization.

1.1.2 "Company" means the Owner of the ship or any other organization or person such as the Manager, or the Bareboat Charterer, who has assumed the responsibility for operation of the ship from the Shipowner and who on assuming such responsibility has agreed to take over all the duties and responsibility imposed by the Code.

1.1.3 "Administration" means the Government of the State whose flag the ship is entitled to fly.

1.2 Objectives

1.2.1 The objectives of the Code are to ensure safety at sea, prevention of human injury or loss of life, and avoidance of damage to the environment, in particular, to the marine environment, and to property.

1.2.2 Safety management objectives of the Company should, inter alia:

- .1 provide for safe practices in ship operation and a safe working environment;
- .2 establish safeguards against all identified risks; and
- .3 continuously improve safety management skills of personnel ashore and aboard ships, including preparing for emergencies related both to safety and environmental protection.

1.2.3 The safety management system should ensure:

- .1 compliance with mandatory rules and regulations; and
- .2 that applicable codes, guidelines and standards recommended by the Organization, Administrations, classification societies and maritime industry organizations are taken into account.

1.3 Application

The requirements of this Code may be applied to all ships.

1.4 Functional requirements for a Safety Management System (SMS)

Every Company should develop, implement and maintain a Safety Management System (SMS) which includes the following functional requirements:

- .1 a safety and environmental protection policy;
- .2 instructions and procedures to ensure safe operation of ships and protection of the environment in compliance with relevant international and flag State legislation;
- .3 defined levels of authority and lines of communication between, and amongst, shore and shipboard personnel;
- .4 procedures for reporting accidents and non-conformities with the provisions of this Code;
- .5 procedures to prepare for and respond to emergency situations; and
- .6 procedures for internal audits and management reviews.

2 SAFETY AND ENVIRONMENTAL PROTECTION POLICY

2.1 The Company should establish a safety and environmental protection policy which describes how the objectives, given in paragraph 1.2, will be achieved.

2.2 The Company should ensure that the policy is implemented and maintained at all levels of the organization both ship based as well as shore based.

3 COMPANY RESPONSIBILITIES AND AUTHORITY

3.1 If the entity who is responsible for the operation of the ship is other than the owner, the owner must report the full name and details of such entity to the Administration.

3.2 The Company should define and document the responsibility, authority and interrelation of all personnel who manage, perform and verify work relating to and affecting safety and pollution prevention.

3.3 The Company is responsible for ensuring that adequate resources and shore based support are provided to enable the designated person or persons to carry out their functions.

4 DESIGNATED PERSON(S)

To ensure the safe operation of each ship and to provide a link between the company and those on board, every company, as appropriate, should designate a person or persons ashore having direct access to the highest level of management. The responsibility and authority of the designated person or persons should include monitoring the safety and pollution prevention aspects of the operation of each ship and to ensure that adequate resources and shore based support are applied, as required.

5 MASTER'S RESPONSIBILITY AND AUTHORITY

5.1 The Company should clearly define and document the master's responsibility with regard to:

- .1 implementing the safety and environmental protection policy of the Company;
- .2 motivating the crew in the observation of that policy;
- .3 issuing appropriate orders and instructions in a clear and simple manner;
- .4 verifying that specified requirements are observed; and
- .5 reviewing the SMS and reporting its deficiencies to the shore based management.

5.2 The Company should ensure that the SMS operating on board the ship contains a clear statement emphasizing the Master's authority. The Company should establish in the SMS that the master has the overriding authority and the responsibility to make decisions with respect to safety and pollution prevention and to request the Company's assistance as may be necessary.

6 RESOURCES AND PERSONNEL

6.1 The Company should ensure that the master is:

- .1 properly qualified for command;
- .2 fully conversant with the Company's SMS; and
- .3 given the necessary support so that the Master's duties can be safely performed.

6.2 The Company should ensure that each ship is manned with qualified, certificated and medically fit seafarers in accordance with national and international requirements.

6.3 The Company should establish procedures to ensure that new personnel and personnel transferred to new assignments related to safety and protection of the environment are given proper familiarization with their duties. Instructions which are essential to be provided prior to sailing should be identified, documented and given.

6.4 The Company should ensure that all personnel involved in the Company's SMS have an adequate understanding of relevant rules, regulations, codes and guidelines.

6.5 The Company should establish and maintain procedures for identifying any training which may be required in support of the SMS and ensure that such training is provided for all personnel concerned.

6.6 The Company should establish procedures by which the ship's personnel receive relevant information on the SMS in a working language or languages understood by them.

6.7 The Company should ensure that the ship's personnel are able to communicate effectively in the execution of their duties related to the SMS.

7 DEVELOPMENT OF PLANS FOR SHIPBOARD OPERATIONS

The Company should establish procedures for the preparation of plans and instructions for key shipboard operations concerning the safety of the ship and the prevention of pollution. The various tasks involved should be defined and assigned to qualified personnel.

8 EMERGENCY PREPAREDNESS

8.1 The Company should establish procedures to identify, describe and respond to potential emergency shipboard situations.

8.2 The Company should establish programmes for drills and exercises to prepare for emergency actions.

8.3 The SMS should provide for measures ensuring that the Company's organization can respond at any time to hazards, accidents and emergency situations involving its ships.

9 REPORTS AND ANALYSIS OF NON-CONFORMITIES, ACCIDENTS AND HAZARDOUS OCCURENCES

9.1 The SMS should include procedures ensuring that non-conformities, accidents and hazardous situations are reported to the Company, investigated and analysed with the objective of improving safety and pollution prevention.

9.2 The Company should establish procedures for the implementation of corrective action.

10 MAINTENANCE OF THE SHIP AND EQUIPMENT

10.1 The Company should establish procedures to ensure that the ship is maintained in conformity with the provisions of the relevant rules and regulations and with any additional requirements which may be established by the Company.

10.2 In meeting these requirements the Company should ensure that:

- .1 inspections are held at appropriate intervals;
- .2 any non-conformity is reported with its possible cause, if known;
- .3 appropriate corrective action is taken; and
- .4 records of these activities are maintained.

10.3 The Company should establish procedures in SMS to identify equipment and technical systems the sudden operational failure of which may result in hazardous situations. The SMS should provide for specific measures aimed at promoting the reliability of such equipment or systems. These measures should include the regular testing of stand-by arrangements and equipment or technical systems that are not in continuous use.

10.4 The inspections mentioned in 10.2 as well as the measures referred to 10.3 should be integrated in the ship's operational maintenance routine.

11 DOCUMENTATION

11.1 The Company should establish and maintain procedures to control all documents and data which are relevant to the SMS.

11.2 The Company should ensure that:

- .1 valid documents are available at all relevant locations;
- .2 changes to documents are reviewed and approved by authorized personnel; and
- .3 obsolete documents are promptly removed.

11.3 The documents used to describe and implement the SMS may be referred to as the "Safety Management Manual". Documentation should be kept in a form that the Company considers most effective. Each ship should carry on board all documentation relevant to that ship.

12 COMPANY VERIFICATION, REVIEW AND EVALUATION

12.1 The Company should carry out internal safety audits to verify whether safety and pollution prevention activities comply with the SMS.

12.2 The Company should periodically evaluate the efficiency and when needed review the SMS in accordance with procedures established by the Company.

12.3 The audits and possible corrective actions should be carried out in accordance with documented procedures.

12.4 Personnel carrying out audits should be independent of the areas being audited unless this is impracticable due to the size and the nature of the Company.

12.5 The results of the audits and reviews should be brought to the attention of all personnel having responsibility in the area involved.

12.6 The management personnel responsible for the area involved should take timely corrective action on deficiencies found.

13 CERTIFICATION, VERIFICATION AND CONTROL

13.1 The ship should be operated by a Company which is issued a document of compliance relevant to that ship.

13.2 A document of compliance should be issued for every Company complying with the requirements of the ISM Code by the Administration, by an organization recognized by the Administration or by the Government of the country, acting on behalf of the Administration, in which the Company has chosen to conduct its business. This document should be accepted as evidence that the Company is capable of complying with the requirements of the Code.

13.3 A copy of such a document should be placed on board in order that the Master, if so asked, may produce it for the verification of the Administration or organizations recognized by it.

13.4 A Certificate, called a Safety Management Certificate, should be issued to a ship by the Administration or organization recognized by the Administration. The Administration should, when issuing the certificate, verify that the Company and its shipboard management operate in accordance with the approved SMS.

13.5 The Administration or an organization recognized by the Administration should periodically verify the proper functioning of the ship's SMS as approved.

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