

# EUROPEISKA GEMENSKAPERNAS KOMMISSION

KOM(95) 28 slutliga  
Bryssel, den 13.02.1995

95/0028 (SYN)

Förslag till

RÅDETS FÖRORDNING (EG)  
OM SÄKERHETS-ORGANISATION OCH  
LEDNING AV PASSAGERARROROFARTYG

(framlagt av kommissionen)



## **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 Seas<sup>1</sup>, 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 1994<sup>2</sup>) and to ensure that all provisions of that Code

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<sup>1</sup> COM(93) 66 final of 24 February 1993

<sup>2</sup> 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 ferries<sup>3</sup> 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

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<sup>3</sup> 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 administrations<sup>4</sup>.

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.

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<sup>4</sup> 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 Commission<sup>5</sup>). 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 goods<sup>6</sup>. 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 conditions<sup>7</sup>.

#### 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.

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<sup>5</sup> OJ L 197 of 18.7.87 p.33

<sup>6</sup> OJ L 247 of 5.10.93 p. 19

<sup>7</sup> 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

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EUROPEISKA UNIONENS RÅD HAR ANTAGIT DENNA FÖRORDNING

med beaktande av Fördraget om upprättandet av Europeiska gemenskapen, särskilt artikel 84.2 i detta, och i enlighet med det förfarande som avses i artikel 189c i fördraget,

med beaktande av kommissionens förslag<sup>1</sup>,

i samarbete med Europaparlamentet<sup>2</sup>, och

med beaktande av Ekonomiska och sociala kommitténs yttrande<sup>3</sup>,

med beaktande av följande:

Gemenskapen känner stor oro över fartygsolyckor med förluster av människoliv.

Förordningen för internationella säkerhetsrutiner (ISM) för säkerhetsdrift ombord fartyg och förebyggande åtgärder mot miljöförstöring (IMO:s resolution A.741 (18)) antogs av IMO den 4 november 1993 i medlemsstaternas närvaro, och kommer, genom införlivandet i 1974 års internationella konvention om säkerhet för människoliv till sjöss, att från och med den 1 juli 1998 tillämpas på ro-ro-fartyg.

Förordningen för internationella säkerhetsrutiner har ännu inte tvingande utan endast rekommenderande karaktär.

Säkerheten för människoliv till sjöss kan förbättras effektivt om förordningen för internationella säkerhetsrutiner tillämpas strikt och på tvingande basis.

Gemenskapens viktigaste prioritering gäller säkerhetsrutiner för ro-ro-passagerarfartyg.

I sin resolution av den 22 december 1994 om säkerheten på ro-ro-passagerarfartyg uppmanade rådet kommissionen att lägga fram ett förslag om tvingande och påskyndat genomförande av förordningen för internationella säkerhetsrutiner för alla ro-ro-passagerarfartyg som bedriver reguljär trafik till eller från europeiska hamnar, i överensstämmelse med internationell rätt.

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<sup>1</sup> EGT nr C

<sup>2</sup> EGT nr C

<sup>3</sup> EGT nr C

En strikt och tvingande tillämpning är nödvändig för att säkerställa att system för säkerhetsrutiner inrättas och upprätthålls både på rederi- och fartygsnivå av rederier som bedriver havsgående trafik med ro-ro-passagerarfartyg.

Fartygs säkerhet är främst flaggstaternas ansvar, och medlemsstaterna kan säkerställa att bestämmelser om säkerhetsrutiner följs av de fartyg som för deras flagg och de rederier som driver dessa. Det enda sättet att säkerställa säkerheten på alla ro-ro-fartyg oberoende av flagg som bedriver eller önskar bedriva reguljär trafik från medlemsstaternas hamnar är att medlemsstaterna, som villkor för dem som önskar bedriva reguljär trafik från de egna hamnarna, kräver att säkerhetsbestämmelserna följs.

En medlemsstat måste ha möjlighet att tillfälligt dra in rätten för vissa ro-ro-fartyg att bedriva trafik från dess hamnar om den anser att fartygen utgör en allvarlig fara för säkerheten eller miljön, efter ett beslut fattat av kommissionen, biträdd av en rådgivande kommitté.

En årlig kontroll av att säkerhetsbestämmelserna följs borde garantera att rederierna fortsätter sina ansträngningar för att upprätthålla den nödvändiga nivån på säkerhetsrutinerna.

Medlemsstaterna kan anse det nödvändigt att överlåta ansvaret till eller förlita sig på specialiserade organ för att uppfylla förpliktelseerna i denna förordning. Ett lämpligt sätt att säkerställa att en enhetlig och tillräcklig kontrollnivå upprätthålls är att kräva att sådana organ skall uppfylla kraven i rådets direktiv 94/57/EG om gemensamma regler och standarder för inspektion av fartyg, för övervakningsorganisationer och för sjöfartsadministrationers verksamhet i förbindelse därmed<sup>4</sup>.

Det är nödvändigt att kunna anlita en kommitté av rådgivande karaktär som kan bistå kommissionen med att säkerställa att de normer som fastställs i denna förordning, inbegripet kraven för erkända organisationer, förblir tillräckliga och i största möjliga mån förenliga med internationella normer.

Åtgärder på gemenskapsnivå är det bästa sättet att säkerställa ett tvingande och påskyndat genomförande av bestämmelserna i ISM-förordningen och en effektiv kontroll av tillämpningen av denna, samtidigt som snedvridning av konkurrensen mellan olika gemenskapshamnar och ro-ro-fartyg undviks. Endast en förordning, som är direkt tillämplig, kan säkerställa ett påskyndat och tvingande genomförande av ISM-förordningen. För ett påskyndat genomförande krävs att förordningen tillämpas från och med den 1 juli 1996.

HÄRIGENOM FÖRESKRIVS FÖLJANDE.

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<sup>4</sup> EGT nr L 319, 12.12.1994, s. 20.

## Artikel 1

Syftet med denna förordning är att öka säkerheten vid skötsel och drift av ro-ro-fartyg samt att effektivare förebygga miljöförstöring vid reguljär trafik till eller från hamnar i Europeiska gemenskapen, genom att säkerställa

- att fartygsburna och landbaserade system för säkerhetsrutiner inrättas och upprätthålls av rederierna, och
- att administrationer i flagg- och medlemsstater kontrollerar dessa.

## Artikel 2

I denna förordning och i ISM-förordningen avses med

*ro-ro-fartyg*: ett havsgående passagerarfartyg som är utrustat med anordningar som gör det möjligt för väg- och järnvägsfordon att rulla på och av fartyget och som tar mer än 12 passagerare,

*rederi*: ro-ro-fartygets ägare eller en annan organisation eller person, t.ex. förvaltaren eller den som hyr fartyget utan personal, som har övertagit ansvaret för ro-ro-fartygets drift från ägaren,

*erkänd organisation*: ett organ som erkänts i enlighet med bestämmelserna i rådets direktiv 94/57/EG av den 22 november 1994 om gemensamma regler och standarder för inspektion av fartyg, för övervakningsorganisationer och för sjöfartsadministrationers verksamhet i förbindelse därmed<sup>1</sup>,

*ISM-förordningen*: förordningen för internationella säkerhetsrutiner för säkerhetsdrift ombord fartyg och förebyggande åtgärder mot miljöförstöring, vilken antogs av den internationella sjöfartsorganisationen (IMO) genom resolution A.741(18) av den 4 november 1993, som såsom bilaga är fogad till denna förordning,

*administration*: regeringen i den stat vars flagg ro-ro-fartyget har rätt att föra,

*dokument som visar behörighet*: det dokument som i enlighet med denna förordning utfärdas till rederier,

*certifikat för säkerhetsrutiner*: det certifikat som i enlighet med denna förordning utfärdas till ro-ro-fartyg.

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<sup>1</sup> EGT nr L 319, 12.12.1994, s. 20.

### Artikel 3

Denna förordning skall tillämpas på rederier, oberoende av var dessa är registrerade, etablerade eller verksamma, som bedriver reguljär trafik med minst ett ro-ro-fartyg till eller från en hamn i Europeiska gemenskapen, oavsett fartygets flagg.

### Artikel 4

Alla rederier skall följa bestämmelserna i punkterna 1.2-13.5 i ISM-förordningen, ändrad genom den här förordningen, som om dessa bestämmelser vore tvingande och inte endast av rekommenderande karaktär, som ett villkor för att få bedriva reguljär trafik till eller från en hamn i Europeiska gemenskapen.

### Artikel 5

1. Medlemsstaterna skall, vad gäller rederier och ro-ro-fartyg, följa bestämmelserna i punkterna 13.2, 13.4 och 13.5 i ISM-förordningen, ändrad genom den här förordningen, som om dessa bestämmelser vore tvingande och inte endast av rekommenderande karaktär.

2. För tillämpningen av denna förordning får medlemsstaterna endast godkänna, eller helt eller delvis förlita sig på, en erkänd organisation.

3. För tillämpningen av punkt 13.2 i ISM-förordningen, ändrad genom den här förordningen, skall ett dokument som visar behörighet, utfärdat av myndigheterna i en medlemsstat på vars territorium ett rederi bedriver sin verksamhet eller av en erkänd organisation som handlar på deras vägnar, godkännas av de övriga medlemsstaterna.

4. För tillämpningen av punkt 13.5 i ISM-förordningen, ändrad genom den här förordningen, skall en periodiskt återkommande verifikation äga rum minst en gång om året.

### Artikel 6

1. Medlemsstaterna skall förvissa sig om att bestämmelserna i denna förordning följs innan de ger rederier tillstånd att bedriva reguljär trafik med ro-ro-fartyg till eller från deras hamnar.

2. För tillämpningen av punkt 1 skall varje medlemsstat godkänna intyg som utfärdats av myndigheterna i en annan medlemsstat.

3. Varje medlemsstat skall erkänna dokument som visar behörighet och certifikat för säkerhetsrutiner som utfärdats av administrationer i tredje länder eller av erkända organisationer som handlar på deras vägnar, om det kan slås fast att de garanterar att bestämmelserna i denna förordning följs.

## Artikel 7

Om en medlemsstat anser att ett rederi, trots att det har ett dokument som visar behörighet, inte kan bedriva reguljär trafik till eller från dess hamnar på grund av allvarlig fara för människolivs eller egendoms säkerhet, eller för miljön, får tillståndet för denna trafik dras in tills faran har undanröjts.

Under ovannämnda förhållanden skall följande förfarande tillämpas:

- a) Medlemsstaten skall utan dröjsmål underrätta kommissionen och de övriga medlemsstaterna om sitt beslut och uppge motivet för detta.
- b) Kommissionen skall undersöka om inställandet är befogat på grund av allvarlig fara för säkerheten eller miljön.
- c) Kommissionen skall, i enlighet med förfarandet i artikel 9.2 meddela medlemsstaten om huruvida beslutet att dra in tillståndet är befogat på grund av allvarlig fara för säkerheten eller miljön och, om det inte är befogat, besluta att upphäva det beslut om indragande som fattats av medlemsstaten.

## Artikel 8

För att ta hänsyn till den internationella utvecklingen får följande ändras, särskilt för att i bilagan införa riktlinjer för administrationer för genomförande av ISM-förordningen, i enlighet med det förfarande som fastställs i artikel 9.2:

- 1) Definitionen av *ISM-förordningen* i artikel 2.
- 2) Bilagan.
- 3) Definitionen av *erkänd organisation* i artikel 2.



## Artikel 9

1. Kommissionen skall biträdas av den kommitté som inrättas genom artikel 12.1 i rådets direktiv 93/75/EG<sup>2</sup>.

2. När en hänvisning görs till denna punkt skall följande förfarande tillämpas:

- a) Kommissionens företrädare skall förelägga den kommitté som avses i punkt 1 ett förslag till åtgärder.
- b) Kommittén skall yttra sig över förslaget inom den tid som ordföranden bestämmer med hänsyn till hur brådskande frågan är, om nödvändigt genom omröstning.
- c) Yttrandet skall protokollföras och dessutom har varje medlemsstat rätt att begära att få sin uppfattning tagen till protokollet.
- d) Kommissionen skall ta största hänsyn till det yttrande som kommittén avgett. Den skall underrätta kommittén om det sätt på vilket dess yttrande har beaktats.

## Artikel 10

Denna förordning träder i kraft den 1 januari 1996. Den skall tillämpas från och med den 1 juli 1996.

Denna förordning är till alla delar bindande och direkt tillämplig i alla medlemsstater.

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<sup>2</sup> EGT nr L 247, 5.10.1993, s. 19 om minimikrav för fartyg som anlöper eller avgår från gemenskapens hamnar med farligt eller förorenande gods.

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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Katalognummer : CB-CO-95-036-SV-C

ISBN 92-77-85320-4

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Byrån för Europeiska gemenskapernas officiella publikationer

L-2985 Luxemburg