

PART C

CHAPTER 1

SURVEY MANAGEMENT

Key Changes

Incorporates OAN 672 “Revision to the Focal Point System Technical Advisory Group and Quality Management Network Forum”, OAN 679 “Customer Service Managers (Survey and Inspection) - Terms of Reference and Best Practices”, information regarding implementation of Marine Equipment Directive policy, changes to special arrangements for non-ACS ships building overseas and updates to references. OAN 720 Survey Management: Explanation of MCA Method of Working.

All amendments are highlighted in yellow.

The following arrangements do not necessarily apply to surveys of large yachts conducted by Ensign. Surveyors should contact the Head of Ensign for detailed instructions on survey management of large yachts. Management of fishing vessel surveys is covered in the Instructions to Surveyors on Fishing Vessels.

1.1 Roles and responsibilities

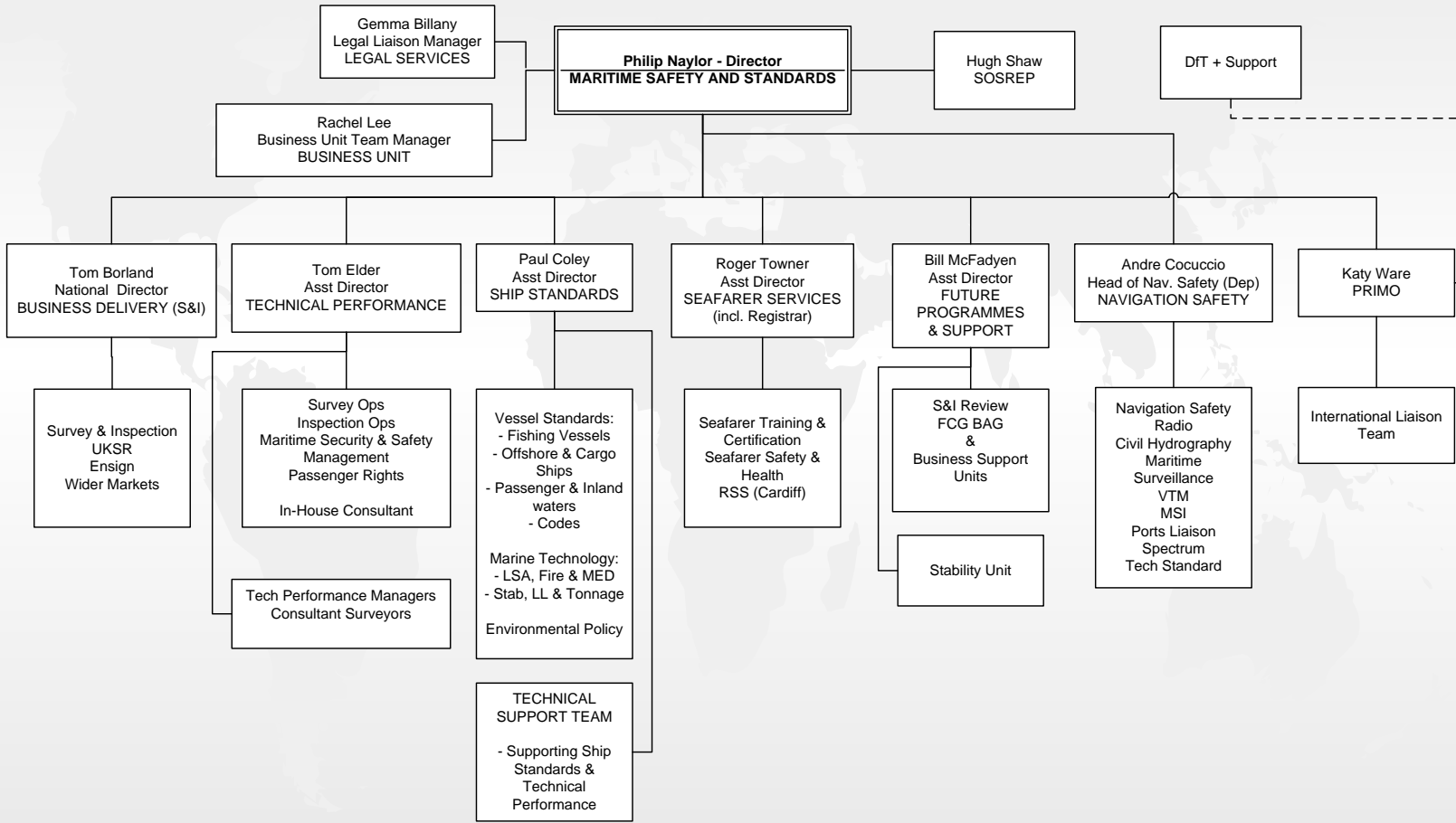
1.1.1 Survey Roles

ORGANISATION CHART

OFFICIAL

Directorate of Maritime Safety And Standards (DMSS)

Interim Structure as at 1st October 2014



OFFICIAL

Executive Director of Maritime Safety and Standards

1.1.1.1 The Executive Director of Maritime Safety and Standards reports to the Chief Executive and is a member of the Executive Management Board. The Executive Director does not normally have a day-to-day role in relation to survey, inspection and enforcement but is consulted as necessary and is responsible to the Chief Executive for the efficiency of the Directorate of Maritime Safety and Standards in all respects. The Executive Director of Maritime Safety and Standards is also line manager for the National Director - Business Delivery Survey and Inspection (S&I).

Assistant Director - Technical Performance

1.1.1.2 The Assistant Director - Technical Performance, with assistance from the Assistant Director - Ship Standards, is responsible to the Executive Director of Maritime Safety and Standards for managing HQ Operational branches, including Survey, Inspection, Security and ISM-ISO Branches. The branches set the annual targets for the various surveys and inspections in consultation with the National Director – Business Delivery (S&I). The role has overall operational responsibility for the consistent application of policy in marine offices. This entails operational liaison with the National Director - Business Delivery (S&I), marine office managers, Technical Performance Managers and the Principal Marine Consultant Surveyors through the focal point system.

Survey Operations Manager

1.1.1.3 The Survey Operations Manager supports the Assistant Director – Technical Performance and Assistant Director - Ship Standards in day-to-day liaison with marine offices. The Survey Operations Manager develops, promotes and monitors a consistent MCA survey policy in conjunction with the Technical Performance Managers. This will involve liaison with MCA and classification society surveyors and other flag administrations. The Survey Operations Manager is also responsible for advising Marine Offices of new regulations and formulating guidance and instructions to surveyors relating to the process of survey and certification (i.e. not standards).

1.1.1.4 The Survey Operations Manager also arranges for the appointment of class society surveyors, in consultation with relevant specialist section in HQ, to undertake statutory surveys on behalf of the MCA when MCA attendance is impractical or impossible. These may include full or partial surveys during building overseas or when a ship changes to the UK flag.

1.1.1.5 Appointments for Radio surveys are dealt with as laid down in MGN 392.

Technical Performance Manager (TPM)

1.1.1.6 Technical Performance Managers support the Assistant Director – Technical Performance, The National Director – Business Delivery (S&I) and

the Assistant Director - Ship Standards, in promoting and monitoring a consistent MCA survey policy nationally, in conjunction with the Survey Operations Manager. This includes technical management (rather than operational or line management), focal points and of surveyor training. The TPMs are also Principal Surveyors.

1.1.1.7 The National Director – Business Delivery (S&I) may seek assistance from Technical Performance Managers for investigating customer complaints resulting from inconsistent interpretation of MCA guidance or differing working practices across different MOs/Regions.

National Director – Business Delivery (S&I)

1.1.1.8 The National Director – Business Delivery (S&I) is responsible for all operational aspects of MCA work within marine offices. Whilst day to day management is undertaken by NMB, The National Director – Business Delivery (S&I) is still responsible for the actions of staff and the achievement of objectives as well as making any necessary adjustments to achieve an acceptable national result. These objectives include the numbers of surveys and inspections to be undertaken.

Area Operations Manager - Survey and Inspection (AOM), Surveyor In Charge (SiC)

1.1.1.9 AOMs/SiCs are responsible for the day to day management and co-ordination of operational aspects of survey, inspection and enforcement work in their office(es). This includes being liaison point for appointments of Customer Service Managers and the placing of non-local survey work with the aim of this to ensure a fair distribution of work and to ensure consistency. This will entail liaison with Technical Performance Managers and with the Survey Operations Manager. The AOM/SiCs are members of the National Management Board (S&I). Some AOMs have responsibility for more than one marine office. AOM/SiCs are also Principal Surveyors.

Principal Surveyor – Marine Office

1.1.1.10 Principal Surveyors assist the AOM/SiC and have organisational and managerial responsibilities within a marine office. Their knowledge, experience and responsibility enables them to deal with exceptional situations and carry out most surveys and inspections if so required. They have expertise in the practicalities of survey and inspection, and are capable of making decisions relating to the detention of ships and other situations where there is risk to life or pollution of the marine environment. This role is often combined with others.

Consultant Surveyor (CS)

1.1.1.11 CSs have technical organisational responsibilities and provide expertise in the work on a range of subjects through their survey and inspection experience. They spend an agreed proportion of their time on technical advice

and other work through the focal point system managed by the Technical Performance Managers. They are line managed by the Assistant Director Technical Performance. Their knowledge, experience and responsibility enables them to deal with exceptional situations during surveys and inspections as required. They have expertise in the practicalities of survey and inspection, and are capable of making decisions relating to detention and other situations where there is risk to life or pollution of the marine environment. CSs are also Principal Surveyors.

Marine Surveyor - Marine Office

1.1.1.12 Marine Surveyors survey and inspect ships as directed by the AOM/SiC. Marine Surveyors carry out a wide range of survey tasks, but many have specific disciplines generally either nautical, marine engineer, or ship surveyor (naval architect) supporting each other in day to day work.

1.1.2 National Resources

Technical Advisory Group

1.1.2.1 The initiation of a Technical Advisory Group (TAG) was recommended by the National Audit Office (NAO) in their *"MCA Ship Surveys & Inspection Report"* (March 2001). The NAO recommended the MCA to; *"improve the availability of guidance and advice for MCA Surveyors by establishing a Technical Advisory Group (TAG)"*

1.1.2.2 The TAG oversees the work of the Focal Point System. TAG will also be the final arbiter for technical issues not resolved elsewhere.

1.1.2.3 The TAG will be able to create sub-committees to consider specific technical issues. One such permanent committee is Quality Management Network Forum (QMNF), which meets immediately prior to TAG, and which looks at quality and consistency issues within MCA and wider related organisations (Class, Certifying Authorities and Red Ensign Group). These sub committees report back to TAG. The terms of reference for TAG, Focal Point groups and QMNF are on the Mnet.

Focal Points System

1.1.2.4 The Focal Point (FP) system is divided into six groups, each being responsible for specified technical areas. Each group includes three Consultant Surveyors and the respective HQ heads of branch for each relevant technical area. Each FP group is chaired by a Technical Performance Manager. The FP groups are grouped around the strengths of each discipline; although the members are not expected to be experts in all policy areas, their expertise will grow in time through their involvement. A balance of disciplines is desirable.

1.1.2.5 The FP system provides:

- a recognised path for MO surveyors to seek technical advice with implications for national policy;

- reduced operational issues being passed to HQ to be addressed;
- a source of operational technical advice for HQ staff;
- a means of developing an implementation package for new policy or regulation;
- a means of transferring the knowledge gained by experienced surveyors to a wide group of surveyors; and
- a clear path to consider technical issues.

1.1.2.6 Consultant Surveyors are experienced operational surveyors who are appointed to co-ordinate expertise in particular subjects associated with Survey, Inspection and Policy work. CSs use their technical experience in a variety of policy areas, not just those traditionally associated with a given discipline. In addition, there may be some marine surveyor specialists in a particular single subject, who can support the FP system because of their personal expertise.

1.1.2.7 The aim of CSs is to provide a source of advice for marine office colleagues and headquarters (HQ) staff. The CSs enables a two way flow of consistent technical information between headquarters and marine offices (MOs). The system also provides a management path for technical information, guidance and decision making.

1.1.2.8 Day to day, the CSs will:

- be a source of technical advice for surveyors in MOs;
- ensure that surveyors are aware of forthcoming changes in regulations or interpretations and provide necessary briefings in MOs to ensure a consistent application;
- support the Technical Performance Manager with initiatives to enhance consistency of survey and inspection;
- provide a source of technical advice to policy branch in HQ; and
- enable a consistent approach to technical issues through discussion with other CSs and HQ, as well as keeping apprised of local decisions.

1.1.2.9 The FP system is not responsible for policy development, this remains with HQ, but CSs will be expected to contribute, by providing a means of consultation, technical advice and feedback. The system is designed to support that process by providing a source of operational advice and reducing the need for HQ to become directly involved in operational issues. The FP groups may take the lead in interpretation of policy such as development of supporting technical documentation (such as instructions to surveyors, aide memoires)

1.1.2.10 All group members should have focal point work itemised on their role profile. In the case of CSs the expected time allocation should be quantified in their **PDMR**. This may be up to 60% of their role. This will ensure all group members have sufficient time allocated to focal point work to ensure that the groups are active and productive.

1.1.2.11 A list of technical areas, membership of the focal point groups and their terms of reference is maintained on the DMSS Technical Performance microsite.

National Management Board (S&I)

This group represents all the AOM/SiCs and is chaired by the National Director Business Delivery (S&I). The aim of the board is to provide efficient use of surveyor resources and encourage a consistent approach to day to day marine office work.

1.1.3 Survey policy and advice

1.1.3.1 If surveyors are unsure of the interpretation, implementation or application of a rule or regulation which is not clarified in instructions or other guidance on SCMS, they should seek advice from their marine office line manager/SiC. If there are implications for national policy, then a CS should be contacted from the relevant FP group. Where the implications are of an operational nature and generally where they apply only to a particular vessel, then Survey Operations Branch should be contacted.

1.1.3.2 If an owner or operator disagrees with the attending surveyor's opinion on the application of a standard to a particular ship the facts of the matter should first be discussed with the lead surveyor, AOM/SiC and where relevant the CSM. Should there be a point of policy to be established then the lead surveyor or CSM will contact the relevant CS. If the CS is not able to resolve the matter then it may be referred to HQ for a policy decision. As soon as a decision is made, it should then be communicated to the company by the lead surveyor or CSM. The company should be dissuaded from making direct contact with HQ. If they do contact HQ they should be referred back to the MO. If the customer is not content with a decision made by the CSM/ lead surveyor then the matter should be referred to the AOM/SiC. See also 1.8 on complaints.

1.1.3.3 When advice is sought from HQ and revisions made to policy the Survey Operations Manager and Technical Performance Managers should be informed so that information can be promulgated to all relevant surveyors, including focal points. This is vital in ensuring the MCA delivers consistent advice to the industry. Where relevant, the CSM or lead surveyor will advise the company of an outcome.

1.1.3.4 Significant policy clarifications or changes will be incorporated into the relevant Instruction to Surveyors or, temporarily in a SAN. Minor clarifications and policy interpretations will be added to the Technical Interpretation System (TIPS), which is managed by the TPMs and available on the TPM microsite and SCMS; these will then be added to the appropriate instructions or guidance at the next revision.

1.1.3.5 Should a classification society surveyor require clarification of a UK requirement they should contact the lead surveyor for the vessel on which they are working or, if the lead surveyor is not available, the CSM.

1.1.3.6 In urgent cases when neither the lead surveyor nor the CSM are available for consultation then the 24 hour contact arrangements described in the MCA/classification society agreements should be used.

1.1.4 Appointment of non-MCA surveyors

1.1.4.1 Authority to carry out many of the surveys required on UK ships has been delegated to non-governmental certifying authorities such as classification societies and other organisations with relevant surveying expertise. The MCA have written agreements with such bodies detailing the scope of the delegation. They are available via the Survey and Inspection MNet microsite and the Master List of Documents (MLD). Individual authorisation to surveyors from these organisations to carry out delegated surveys, or parts of surveys, is not required.

1.1.4.2 In the case of survey work which has not been delegated to a surveying organisation in certain circumstances it may be appropriate to appoint named surveyors from these non-governmental certifying authorities to carry out surveys on behalf of MCA. In such cases detailed instructions would be passed on regarding MCA requirements for the ship or issue in question. Circumstances when appointment may be considered appropriate include:

- New-buildings overseas
- Flag-in surveys when no other surveys are due
- SEC surveys, unless the ship is due a survey by an MCA surveyor under the '1 in 5' rule or is targeted due to previous survey or inspection problems.
- When no MCA surveyor can be made available due to workloads or travelling time constraints in order to:
 - reduce travel costs for the customer
 - improve flexibility of survey dates for the customer
 - improve the quality of the survey by allowing the examination of work carried out over a period of time

1.1.4.3 Appointments must be made following MCA Procedure 320.

1.1.4.4 All regulations are open to interpretation. Internationally agreed interpretations are sometimes available but MCA have experienced cases where Class Societies apply interpretations without uniform global acceptance. This can lead to problems for the UK, especially when ships join the UK flag, but also when they are inspected under Port State Control.

1.1.4.5 For this reason surveyors should contact Class Societies/ owners/ shipyards when joining the UK flag or changes to arrangements are proposed to ensure MCA are supplied with copies of the appropriate drawings at an early stage so any potential difficulties can be identified.

1.1.4.6 If the Class surveyor is in any doubt, they should contact the MCA Customer Service Manager. Class were informed, via OAN 307, to take this action and that policy remains valid.

1.1.5 Health and safety

All surveyors should follow health and safety requirements related to their work on ships and around ports. The MCA's policy on the health and safety of its employees is available on the Health and Safety Microsite on the MNet with specific information for surveyors in the Instructions to Surveyors on Safe Working Practices (MSIS 30). Generic Risk Assessments (GRAs) for common survey and inspection activities are available from the Master List of Documents.

1.2 Customer Relations

1.2.1 All organisations need to maintain good relations with their customers to stay in business. To this end all customers who have surveys/ audits carried out by the MCA on a regular basis should be aware of the contact details of a surveyor in their local marine office who they can approach to discuss surveys/ audits or other matters. These customer contacts should also forward other types of queries to the correct part of the MCA for response. For companies identified as needing significant resource to deal with customer service issues a Customer Service Manager and/or Customer Account Manager may be appointed.

1.2.2 Customer Service Manager (CSM)

1.2.2.1 The function of a Customer Service Manager is to provide a single point of liaison between the MCA and the customer throughout the survey and certification process to help ensure technical consistency and quality of service to MCA's customers and to promote the Agency's aim of 'safety through partnership'. CSMs are also the first point of contact for classification societies with an issue relating to any UK ship of that company, except when it relates to a specific survey under the charge of a lead surveyor. Terms of reference for CSMs are at Annex 1.

1.2.2.2 CSMs deal with ship managers, not specific ships. The aim is to have a single contact but exceptionally more than one CSM may be appointed to a company, for example where one deals with a company's new builds and one deals with existing ships. Such deviations should be agreed with the Survey Operations Manager and the customer.

1.2.2.3 CSMs should ensure that correspondence with the customer is put on file in accordance with the Registry Support and Customer Guide. The CM xxx/27/01 file, or respective theme files, may be used for ship specific customer correspondence. Company specific correspondence including 'minutes of meetings' should be filed in the company DOC file, if appropriate, or in respective Marine Office registered file theme for general company correspondence (Example MSA 08/21/xx for MCA Tyne).

1.2.2.4 CSMs should ensure that any fee earning work done by them including technical advice is recorded and charged to the customer in accordance with Chapter 7. CSMs can give free advice where it relates to requirements which are obligatory and the application of particular regulations - this may be up to an hour, particularly under CSM role. When it is clear that the issue requires more input, then fee is to be charged. Where specific technical or professional advice is sought on how compliance with regulations can be achieved, a fee should be charged in line with current Fee Regulations. Customers should be advised at the time of enquiry whether charges will apply. All non fee earning CSM work should be recorded against E-Track code COM 602.

1.2.2.5 Regular meetings between CSM and the customer's lead person should be arranged, wherever practical, with the aim of at least one meeting per year. Face to face meetings are preferable and are relatively easy to arrange for UK based companies. A standard agenda (see Annex 2) should be used for such meetings. Minutes should be circulated to UKSR, and if actions are required to appropriate persons within MCA. For companies based abroad, the MCA cannot expend significant public resources for the CSM meeting. Alternative means (meeting in conjunction with a DOC audit, video conferencing, separate meeting at the time of the UKSR annual reception or road shows, inviting company representatives for a meeting in the MO or in MCA HQ etc) of achieving the objective should be considered by the CSMs and their line managers. Travel and expenses for meetings overseas will normally have to be charged to the customer.

1.2.2.6 In accordance with the standards to be met by MCA for ISO 9001:2008 compliance, customer feedback on the quality of MCA services has been included as a standard agenda item (see Annex 3) for CSM meetings. Feedback (good or bad) should be conveyed to UKSR. Any feedback on delegated surveys carried out by Class Societies should be conveyed to MCA HQ External Monitoring and Assurance Branch.

1.2.2.7 **The lead surveyor** should advise customers that all complaints concerning MCA services should be addressed to them in the first instance. In responding to the complaint, the lead surveyor should be guided by corporate procedure **CORP 77 – Customer Complaints Guide**. CSMs should distribute and keep appropriate records of all customer complaints in accordance with the corporate procedure and should keep their SiC/AOM informed about the status of any complaints. If the issues raised pertain to other Marine Offices the CSM should also keep relevant AOMs or National Director informed.

1.2.2.8 The National Audit Office (NAO) report on the 'Maritime and Coastguard Agency's response to growth in UK merchant shipping fleet' commented that the Agency should make the best use of surveyor resources by forward planning and scheduling of survey and inspection work. Survey planning, facilitated by use of a database which lists ship survey due dates, was cited as a best practice in the NAO report. CERS-SVD database, when fully implemented, will provide full information about status of statutory certificates onboard ships. In the interim, attached simple format (see Annex 4) or similar

spread sheets may be used by CSMs or Marine Office staff to monitor certificate expiry dates and for survey planning.

1.2.2.9 All CSMs should have a nominated deputy to cover for them while they are unavailable e.g. on leave. Deputies should ideally have been trained as a CSM and reciprocal deputising arrangements may be beneficial however suitably experienced surveyors may be used.

1.2.2.10 CSMs are expected to work reasonable office hours and outside this the MCA system is for companies to contact the 24 hour MCA Infoline who may then contact CAMs or Duty Surveyor. The Duty Surveyor will respond to urgent matters. Routine matters should remain within office hours. This system and the contact details for this deputy should be made known to customers.

1.2.3 Lead surveyors

1.2.3.1 For each survey one person, possibly but not necessarily the CSM, will be assigned as lead surveyor for the job. They will be responsible for the day-to-day management of the survey and:

- Provide an estimate of fees expected for the job, if one is requested.
- Liaise with the customer's lead person.
- Resolve problems and complaints and arbitrate in accordance with the procedures in the MCA's Code of Practice.
- Arrange survey times in conjunction with AOM/SiC.
- Advise on overspends on estimated fees and the reasons for them.
- Liaise with the CSM on issues likely to lead to complaints or which may affect other ships in the customer's fleet.
- Resolve MCA policy issues.
- Periodically monitor the fee account and prevent negative balances.
- Monitor the status of any aspects of the survey passed to others e.g. for policy decisions, workload or experience issues, to ensure MCA service standards are met.
- Ensure the relevant files are opened and contain:-
 - Correspondence with customer
 - Any documents relevant to the survey
 - *Any documents completed by MCA in accordance with the customer's own quality assurance system*

1.2.4 Customer Account Managers (CAM)

1.2.4.1 Customer Account Managers are part of the UKSR Branch and act as a focal point for shipping companies to provide continuity throughout the flag-in process and while the company continues to have vessels on the UK Ship Register. They are responsible for administration and general policy matters and complement the service provided by Customer Service Managers;

1.2.4.2 The benefits include:

- improved accessibility for the customer;
- precise and consistent advice provided during the flag-in process;

- easing of the administration burden on CSMs to allow them to concentrate on their primary role;
- improved lines of communication between the company and the MCA to inspire customer confidence that enquiries will be dealt with effectively and efficiently.

1.2.4.3 CSMs remain the single point of contact for technical issues during the flag-in process and for vessels already on the UK Register.

1.2.4.4 CAMs are appointed to the following categories of companies:

- to new companies as and when they join the register;
- for companies on the UKSR that do not have a CSM;
- where there are significant growth opportunities, e.g. there are large multi-flag fleets.

1.2.4.5 In meeting their responsibilities CAMs:

- maintain good and open communication with their designated companies – through familiarisation of the companies processes, regular face-to-face meetings and telephone contact;
- maintain good and open communication with other flag-in stakeholders (e.g. CSMs, RSS, HQ Branches) to provide a seamless and customer focussed service;
- respond within 24 hours to customer enquiries both internally and externally – through the provision of desk-based and backup support systems;
- provide out-of-hours customer support for enquiries on UK registration administration and policy matters on a roster basis – the duty CAM is contactable via phone (+44 (0)2380 329 197) which diverts to the duty CAM's mobile out of hours;
- monitor the issues/queries on the flag-in process to build a knowledge base that can be analysed to effect continual improvements in the flag-in process.

1.2.5 Allocation of roles

1.2.5.1 For companies identified as needing significant resource to deal with customer service issues the Survey Operations Manager will liaise with the National Director – Business Delivery (S&I) and National Management Board to appoint the CSM. UKSR Branch will assign a CAM. Customer service contacts will be allocated for other companies by AOM-S&Is or SiCs.

1.2.5.2 UKSR Branch will liaise with Survey Operations Branch so that Registry of Shipping and Seamen, (RSS) Registry Manager is informed of the CAM and CSM.

1.2.5.3 Determining factors for the selection of a CSM include:

- prior customer service training
- CSM and office/region workload
- expertise in relevant ship types, and
- proximity to a company's ships or office.

Once appointed, the CSM should notify the customer that all survey and technical correspondence should be routed through them as MCA's primary point of contact, or their deputy, unless advised otherwise. A standard format for the letter that can be used on CSM appointment (or subsequent changes) is at Annex 2.

1.2.5.4 The CSM may also be the lead surveyor or, in consultation with the relevant SiC, may appoint a different lead surveyor for a specific vessel.

1.2.5.5 Survey Operations Branch keep a record of CSM appointments to ensure that an overall balance of work is maintained. Allocated CSMs, backup CSMs and CAMs, along with their designated companies, are maintained by UKSR/Survey Operations Branch on the UK Merchant Fleet database. This information is also available to the UK Classification Societies.

1.2.5.6 On completion of a newbuild / flag-in process, the CSM should advise the company that they remain the liaison point for future survey requests for the ship.

1.2.5.7 When a vessel is operating in one MCA area and requires survey in another the CSM, in consultation with both SiCs, should agree which marine office supplies the surveyor and which marine office issues the certificates.

1.2.5.8 If a CSM leaves the Agency, or transfers to a position which is not directly concerned with the survey of ships, their line manager should ensure a new CSM is appointed, in consultation with Survey Operations Branch, and the customer informed of new contact details.

1.3 MCA Method of Working

1.3.1 A series of documents is available for use by surveyors in explaining the method of working of the MCA to its customers, when conducting statutory survey work. The aim is to improve communication between all parties, including MCA, builders, owners and Classification Societies. No new principles are introduced but the aim is to streamline existing procedures.

1.3.2 The following documents are available:

MCA Method of Working ([Annex 5](#))

The document explains to our customers MCA's procedures and service standards relating to statutory survey work. The document should be included with fee estimates that are provided to our customers, where it is felt appropriate. The intention is that this will be particularly useful in conjunction with fee estimates for newbuilds.

Important: It should be noted that the document is not MCA 'terms and conditions' and it has been carefully worded to avoid any implication that there is a contractual agreement between MCA and other parties.

MCA have a statutory duty to survey or inspect vessels and is not bound by any contract.

- Fee Estimate template (Part C Chapter 2, Annex 1 of these instructions)

It is recommended that for consistency the fee estimate template is used whenever a fee estimate is provided (except in the most basic cases).

Fee benchmarking for a range of surveys and ship types is available on the Survey Operations Branch microsite and should be used as a guide when providing fee estimates.

- Newbuild Cover Fax templates for class authorisation (please contact TST (Ships) for current versions).

For statutory surveys which MCA wish to delegate to Class, but that are not covered by the Class survey agreements (available on the Survey & Inspection page of the mnet), an Instrument of Appointment is required to be issued by Survey Operations Branch (see also procedure MCA 320). Alongside the appointment is a cover fax which details the requirements and limitations of the appointment and clarifies the extent of class delegation. In the case of newbuilds, it is useful if the MCA Lead Surveyor can amend the appropriate sections of the template in order to provide a draft to Survey Operations Branch for issue, as each newbuild case will have differing requirements.

- Procedural Agreement ([Annex 6](#))

The purpose of the Procedural Agreement is to set out MCA requirements when newbuild survey work is delegated to a Classification Society (UK recognised organisation), in order to improve and standardise the service given to and received from the Classification Societies. The document should be sent to the nominated Class surveyor by the MCA Lead Surveyor at the outset of a newbuild project, for both ACS and non-ACS ships.

- Approval & Testing Matrix template ([Annex 7](#))

The Approval & Testing Matrix should be used in conjunction with the Procedural Agreement. Its aim is to clarify the Class and MCA division of responsibility in newbuild survey work, in accordance with the Class survey agreements and any Instrument of Appointment that has been issued. The Matrix should be amended as appropriate for each case and sent to the Class surveyor alongside the Procedural Agreement.

- Class Surveyor Acknowledgement template ([Annex 8](#))

To be used in conjunction with the Procedural Agreement, the Approval & Testing Matrix and issue of an Instrument of Appointment. The MCA Lead Surveyor should request that the Class surveyor returns the acknowledgement as confirmation of the requirements laid out by MCA.

1.3.3 Surveyors should also be aware of the Health & Safety Standards document now attached as an Annex to the Application for Survey and Inspection of Ships and Fishing Vessels (MSF 5100). The document expands upon the basic health and safety statement on the front page of the MSF 5100, providing further information and guidance as to the health and safety standards that MCA expect when conducting survey and inspection activities. It provides a basis on which an attending MCA surveyor can judge the suitability of health and safety provision and, if necessary, discontinue with the survey or inspection activity. It is recommended that in addition to the above documents, MCA surveyors should also make customers aware of the Health & Safety Standards document.

1.4 Plan approval

1.4.1 In general, all plans should be approved by marine offices and only referred to HQ for consultation and policy issues. Any plans to be submitted for acceptance to HQ are summarised in the appropriate instructions.

1.4.2 The customer should be advised on the cost benefits of having a procedure which enables the surveyors to quickly identify modifications to amended plans re-submitted.

1.4.3 The following procedures and best practices should be followed:

1.4.3.1 Infra-structure:

- area with minimum interruptions
- suitable plan table and appropriate equipment such as scale rules, compass, and laptop power supply.
- access to all relevant documentation including regulations, international conventions, the SCMS library and the MLD.

1.4.3.2 Tracking of plan approval:

Plans tracked from receipt to approval using a spreadsheet to ensure performance indicators can be measured (see Annex 9)

1.4.3.3 Files:

- CM ...27/01 file raised early in the process to file records of opening meetings, terms of business, fees estimate and other non-theme specific information.
- theme files (stability, fire protection, MARPOL etc) raised to file submissions, decisions, correspondence and approval.
- See Part C Chapter 4 for guidance on record keeping.

Note: 'Registry Support and Customer Guide', on the MLD, gives guidance on what to place on file. Procedure MCA 130 and Document no. 50 on Retention periods gives guidance on retention periods for registered files.

1.4.3.4 Electronic drawings:

- electronic drawings recorded and tracked in the same way as paper ones.
- drawings printed for examination, where necessary, then treated as if received on paper.
- approval letters issued as for paper drawings.

1.4.3.5 Technical review of plans:

- use of aide-memoires or up-to-date lists, such as that at annex 10, where available
- basic engineering principles applied

1.4.3.6 Approval:

- procedure MCA 292
- drawings stamped with standard MCA stamps (see annex 12)
- plans for flag-in vessels treated the same way as other plans
- plans received for reference only (i.e. not for formal approval), this to be indicated on the approval letter.
- approval letter in format at annex 11.

1.4.3.7 The lead surveyor should ensure a record is kept of :-

- (i) all plans submitted by the customer including their status
- (ii) all submissions made to HQ, and
- (iii) all other surveyors which may be involved in the approval of plans. and ensure that the completion of plan approvals are within the time specified in the MCA service standards

1.4.3.8 The surveyor's submission to HQ for a decision on acceptance of plans, policy issues or interpretation to the regulations should be explicit, contain all relevant information, and consider all options. The surveyor should include their preferred option including reasons for its selection.

1.4.3.9 The stability book should be approved prior to a vessel entering service. However, any delay in approval of the book, for whatever reasons, will require provisional approved stability information to be placed on board the vessel and a short term Load Line certificate issued for a period no longer than 5 months. Where necessary, the customer should be asked in writing to provide remaining information for the booklet to be approved. Failure to provide the necessary information may result in the renewal of the certificate being refused.

1.5 New buildings

1.5.1 General

1.5.1.1 Approval and Survey arrangements should be in compliance with this chapter and reference should also be made to paragraph 1.3 of this chapter.

1.5.1.2 When a new building survey enquiry is received it must be ascertained who the ship managers will be and whether they have an MCA Customer

Service Manager (CSM), see 1.2.2. If they do not then Survey Operations Branch should be contacted to see if one needs to be appointed. A lead surveyor for the job, see 1.2.3, will need to be appointed on the basis of availability and experience.

1.5.1.3 No fee estimates should be provided without reference to the CSM or lead surveyor, if there is no CSM, so that different surveyors do not provide different estimates for the same job. Surveyors may however pool their knowledge of owners/ builders etc. to produce the most accurate estimate possible. Fees benchmarking is also available on the Survey Operations Branch microsite.

1.5.1.4 The lead surveyor should establish who is to be the customer's lead person (main point of contact for any queries) and the lines of communication between MCA, the owners, the builders, the class surveyor at the yard and any other contractors who may be involved. The responsibility for fees for different aspects of the job must be established, see chapter 7.

1.5.1.5 Whichever of the following arrangements is used the customer should be advised in writing of :-

- the MCA's and the classification society's status and role in the survey and certification of the vessel
- the certification the MCA will be issuing to the vessel on completion of satisfactory survey, and
- the documentation the MCA will issue to the classification society appointed by the MCA to survey the vessel for the issue of certain international certificates.

1.5.2 Alternative Compliance Scheme (ACS)

1.5.2.1 Where the ship is to be built outside the UK then it may be considered appropriate to encourage the customer to make use of the Alternative Compliance Scheme (ACS), see Part A Ch 27 and MGN 345. The lead surveyor's role in this case is to route any requests for equivalency or exemptions from Class to MCA HQ, organising ISM, ISPS and ILO 178 audits/surveys and helping the CAM, if necessary, with safe manning documents, registration and radio licensing issues.

1.5.2.2 The lead surveyor should also visit the shipyard to conduct a review in accordance with Part A Ch 27.

1.5.3 Non ACS ships

1.5.3.1 If the ship is not being certified under ACS then the lead surveyor should contact the building yard and class surveyor for the yard in order to establish the efficacy of the QA system in the yard which will help determine the amount of on site survey work required by MCA and establish how much faith may be placed in the yard's own test records. This must be done before a fee estimate is prepared (see chapter 7.2).

1.5.3.2 Where the ship is to be built outside the UK then it may be considered necessary to appoint a class society surveyor to conduct some on-site survey between MCA visits to the yard, see 1.1.4.

1.5.3.3 It may be beneficial to hold an initial meeting with the customer and builder prior to commencing the job to advise them of the relevant regulations, Instructions to Surveyors and Merchant Shipping Notices they may wish to reference.

1.5.3.4 The shipyard will be required to be assessed by MCA prior to commencement of the building process in order to review QA procedures, qualifications etc as per the requirements of a vessel built under ACS. Part A Ch 27 provides guidance.

Partial declarations of survey

1.5.3.4 Where a builder's quality standards and procedures are to the surveyor's satisfaction and they have agreed to a selective survey of the systems the builder should provide quality assurance documents to confirm that the surveys have been carried out to the satisfaction of their inspectors and the systems have been installed in accordance with the approved plans.

1.5.3.5 Should a certificated ship's officer be used to carry out surveys on certain systems the surveyor may also request a written statement from the officer. Surveyors should pass these documents to the lead surveyor who should place them on the relevant registered file. With these quality assurance documents to support a selective survey of the vessel's systems, the declaration of survey should require no modification, as the surveyor would have sufficient auditable evidence.

1.5.4 Special arrangements for non-ACS ships building overseas

1.5.4.1 MCA has an agreement with a number of the UK recognised Classification Societies for them to act as a single point of contact with shipyards for new build plan approval, survey and certification work OUTSIDE THE UK. This is for use where ACS is not applicable. A copy of the agreement is available on the Survey Operations Branch microsite.

1.5.4.2 This agreement enables Class to approach shipyards directly and offer this service, thereby enhancing the service available to potential new customers to the UK register.

1.5.4.3 The agreement does not delegate any more work to Class than is currently the practice, but will allow Class to co-ordinate approval of all plans in one of the three ways listed below:

- Those plans requiring approval by Class are dealt with by Class;
- Those plans requiring approval by both Class and MCA will be forwarded to MCA with relevant comments by Class;

- Those plans requiring approval by MCA will be forwarded direct to MCA without comment.

1.5.4.4 Plans approved by MCA are returned through the Class surveyor.

1.5.4.5 When Class is requested to undertake work on behalf of MCA they should inform MCA. MCA will provide a fee estimate and a list of drawings identifying which are required by MCA. Plans will be distributed according to the agreement.

1.5.4.6 MCA will agree with Class the relevant control points requiring MCA survey or test. MCA should visit the ship on an agreed number of occasions but for guidance a typical new build would require around **four** visits as follows:

- .1 Early in the build process to establish the quality control in the yard and clarify any issues with the local Class surveyors.
- .2 At crucial stages to verify items such as the survey of structural fire protection, installation of fixed systems and monitor work in progress.
- .3 To witness inclining test (if MCA are responsible for stability approval).
- .4 At final trials and tests including witnessing of crew emergency and abandon ship drills, testing of fire equipment, lifeboat/davits etc., crew accommodation, and interim audits for ISM and ISPS Code (as applicable).

1.5.4.7 In most cases a Class surveyor(s) will need to be appointed, see 1.1.4, where Class is requested to undertake statutory work not formally delegated to Class. An appointment is not required where the MCA surveyor will survey everything required of MCA during the planned visits (typically a cargo ship would not necessarily require an appointment). Any questions or problems related to this agreement should be referred to Survey Operations Branch.

1.5.5 Interim SMC and ISSC audit

MCA will aim to attend all new builds on completion of all surveys and carry out the interim audit in conjunction with emergency fire and abandon ship drills to demonstrate emergency preparedness. Interim ISPS verification will be made at the same time.

Where it has been agreed, under special circumstances that MCA will not attend completion of the ship, but has authorised all surveys to Class, then Class will be permitted to issue an Interim SMC with maximum validity 6 months with MCA follow up 3 to 6 months later. Interim ISSC will be issued by MCA remotely.

1.5.6 Marine Equipment Approval

1.5.6.1 The Merchant Shipping (Marine Equipment) Regulations 1999 require that certain equipment which is listed in the Annex A.1 to the Marine Equipment Directive (MED - 96/98/EC) is MED approved and marked with a wheelmark

indicating compliance with the Directive. Items in Annex A.2 require type approval by a nominated body recognised by the UK.

1.5.6.2 If the ship is constructed and completed to UK flag (or any other EU Member State flag) then the equipment should be MED compliant where required.

1.5.6.3 If the ship is constructed and completed to a non-EU Member State flag, then the ship can flag to the UK register and may be treated as a change of flag in accordance with Article 8 of the MED, subject to completion of build and handover with a full set of valid statutory certificates (except ISM & ISPS) from the non-EU Member State flag.

1.5.6.4 If a ship transfers to UK flag prior to completion of build and handover of statutory certificates, Article 8 of the MED does not apply and 1.4.6.2 applies.

1.6 Ships “Flagging in” to the UK

1.6.1 Acceptance for registration

1.6.1.1 The UK Ship Register (UKSR) Branch promotes the UK Register. Its key functions are to:

- act as the first point of contact between ship owners/managers and other parts of the MCA;
- promote the UK Register; and,
- provide a central co-ordination of information and application of policy standards for the registration process.

1.6.1.2 The UKSR micro site on the MNet has detailed information on the flagging-in process some of which is available to the public at www.ukshipregister.co.uk. The UKSR is available 24hrs on +44(0) 2380 329197.

1.6.1.3 The MCA is committed to maintaining a quality register. To ensure continuing quality of the UK fleet and consistency in dealing with potential new customers and/or ships the following procedures for vetting vessels which wish to join the UK flag apply:

- UKSR is the initial point of contact for all ship-owners or operators wishing to transfer ships to the UK flag. UKSR will issue the ship registration proforma, MSF 5547, requesting the information needed to run the vessel through the flag-in matrix, MSF 5548, used to determine whether or not the ship is eligible for UK registration.
- If the company approach is not made direct to UKSR, relevant details must be passed immediately to UKSR to action as above. This avoids inconsistency in the completion of the flag-in matrix and ensures that UKSR has current information held centrally on all vessels flagging-in to the UK.

- If a vessel is suitable for the UK Register a Customer Service Manager (CSM) and a Customer Account Manager (CAM) will be assigned to the company to help ensure a seamless transfer of vessels onto the UK Ship Register and throughout the company's association with the UK Ship Register. The UKSR notifies the customer of the decision and provides contact details of the CSM and the CAM. The CAM Narrative is prepared and issued to all stakeholders in the Flagging-in process.
- The company should be advised that in order to safeguard the quality of the UK fleet it is normal practice for the MCA to carry out a flag-in survey prior to joining the UK register. In certain circumstances it may not be necessary or viable for MCA to carry out the flag-in survey. Depending on the matrix score class may be appointed to act on MCA's behalf.

1.6.2 Refusal of registration

1.6.2.1 If the matrix score is high, or the ship is over 15 years old, the application should be referred to the flag-in panel.

1.6.2.2 If the vessel is not accepted onto the UK Register UKSR Branch sends a letter to the shipowner/operator to advise them of this decision and the reasons. UKSR adds details of the vessel to the "Refused Ship" table.

1.6.2.3 The matrix is a guide and if the owner wishes to pursue UK registration, despite an initial refusal, the result of the matrix does not prevent the MCA conducting a thorough inspection of the vessel with a view to UK registration. In such cases, the owner should be advised that a pre-flag-in inspection can be carried out at the owner's expense (see chapter 11 of the Instructions to Surveyors on Inspection Policy). Following a pre-flag-in inspection, the surveyor's report, MSF 5556, is submitted to the MCA Flag-in Panel for assessment and decision. If it is considered the vessel can continue the flag-in process UKSR will notify the CSM and other stakeholders, otherwise UKSR will notify the shipowner/operator that the vessel cannot be flagged-in.

1.6.2.4 The MCA flag-in panel considers specific ship registration applications referred to it by UKSR and decides whether the ship may be accepted onto the UK register. The panel balances the technical, safety and UK maritime interests in reaching a decision.

1.6.2.5 Cases referred to the panel will be those where: .

- (a) the matrix score is high, or the ship is over 15 years old, or .
- (b) the matrix is not appropriate due to particular circumstances, or
- (c) a refused applicant requests a review, or
- (d) there is representation, internal or external, that there are compelling reasons to register the ship, or
- (e) the circumstances of existing ships change e.g. dropping out of class, high detention rates etc.

1.6.2.6 Cases put to the panel are considered in a staged approach:

- (a) The UKSR will collate the vessel information and email to the flag-in panel to obtain members' views/comments.
- (b) The applicant is invited to make the case, in writing, for accepting the ship on the register¹.
- (c) This is then considered by the panel who either; – accept/reject the application, or – accept subject to specified conditions set by the panel.

1.6.2.7 In setting any conditions the following issues are taken into account;

- (a) whether the ship is classed (see MGN 322)
- (b) age of the ship
- (c) known future Convention or EU requirements
- (d) no more favourable treatment than similar ships already on the register
- (e) expected trading area of the ship
- (f) owner/operator details and ISM record
- (g) whether it is an existing or new vessel
- (h) the PSC history of other vessels within the fleet
- (i) other characteristics of the company.

1.6.2.8 The Flag-in Panel, chaired by the Assistant Director - Seafarer Services, includes the Assistant Director – Technical Performance, the Assistant Director - Ship Standards, the Survey Operations Manager, the Technical Performance Managers, the UKSR team, and those with a particular knowledge of the case, ship type or relevant regulatory requirements.

1.6.2.9 For speed and convenience, the panel convenes by email as far as possible. As a minimum, a representative from UKSR, Survey Operations and a representative from the regions must be involved in each case. If no surveyor is available from Survey Operations Branch, the case could be referred to Inspection Operations Branch, or the **Assistant Director – Technical Performance**.

1.6.2.10 The decision of the panel is a consensus, a corporate responsibility shared among the panel. The decision of the panel will be documented on the Flagging-in Panel Decision Record, form MSF 5557, and kept on file by UKSR. The applicant will be informed of the decision by UKSR.

1.6.2.11 In potentially controversial cases the decision of the panel is referred to the Executive Board / Senior Management Team for endorsement.

1.6.2.12 The panel liaises/meets as required and a decision agreed within 5 working days.

1.6.3 Transfers Covered by EC Regulation No 789/2004

¹This may be supplemented or accompanied by additional information from the MCA Surveyor. This may include previous survey reports or PSC records. An indication of the intended trade for the vessel should also be given.

1.6.3.1 EC Regulation No 789/2004 (replacing and extending Council Regulation (EEC) No 613/91), bars technical barriers to the transfer of passenger ships and cargo ships from one flag of a Member State to another.

1.6.3.2 The regulation applies to:

- cargo ships over 500 GT carrying valid certificates which were built on or after 25 May 1980.
- cargo ships built before that date if certified as complying with the 1974 SOLAS requirements, or in the case of chemical tankers and gas carriers, with the relevant standard codes for ships built on or after 25 May 1980.
- passenger ships built on or after 1 July 1998 (in line with Directive 98/18/EC).
- passenger ships built before that date if certified as complying with the 1974 SOLAS requirements for ships built on or after 1 July 1998.

1.6.3.3 Ships specifically excluded include:

- Fishing vessels;
- Pleasure yachts not engaged in trade;
- Cargo ships of less than 500 gross tons;
- New constructions that do not carry valid full term certificates;
- Ships that have been banned under the Paris MOU;
- Ships which whilst subject to the regulation have been detained under the Paris MOU more than once during the three years preceding application to transfer.

Article 3 of the Regulation has more detailed information.

1.6.3.4 The Regulation requires the 'losing register' to make available to the 'gaining register' (or Recognised Organisation acting on behalf of the losing register or gaining register) relevant information about the ship. Note: this differs in emphasis from IMO circular MSC/Circ.1140 & MEPC/Circ.424 which places the onus on the gaining register to request information from the losing register - the gaining register knows the losing register but the reverse is not generally true.

1.6.3.5 Article 4 'Transfer of register', states 'a Member State shall not withhold from registration, for technical reasons arising from the Conventions, a ship registered in another Member State which complies with the requirements and carries valid certificates and equipment approved or type approved in accordance with Council Directive 96/98/EC of 20 December 1996 on marine equipment'.

1.6.3.6 The MCA procedures governing vessel transfers to the UK register do not contradict the EC regulation. The EC regulation permits the gaining State

to inspect a vessel prior to accepting it on the register and provides discretion for the gaining register to refuse registration until deficiencies are rectified, if considered serious enough. Thus EU flagged vessels are not treated any differently to third country registered ships by virtue of this regulation. However, if MCA refuses a ship, to which this regulation applies, it must have clear and specific reasons and the decision reported to the Council within one month. The decision is subject to review by COSS (which meets approximately every six months) which either upholds or overrules the decision. Surveyors should therefore provide full details of deficiencies to CG&R Branch.

1.6.3.7 Article 4 paragraph 2 of the EC regulation refers to the requirements for the operation of a ship under Article 7 of Directive 98/18/EC. That directive refers to the procedures for exemptions for domestic passenger ships and Article 6 of Directive 2003/25/EC, which refers to stability standards for international or domestic ro-ro ferries. This means that the change of flag should not affect any exemptions granted to the ship by the previous administration, nor any requirements affecting stability.

1.6.3.8 Any exemptions granted to domestic passenger ships, or alternative standards accepted by the losing administration must therefore be identified before registration. If there are any it should be established whether the ship is just changing flag to the UK, or is also changing location to operate in UK waters. If it is, it should be assessed whether the standards remain appropriate in UK conditions, or whether they were aimed at the local conditions of the losing Administration. Directive 1998/18 requires that any such exemptions are presented to the EU to allow administrations six months to review the proposals and object if necessary. Be aware that when assessing such exemptions those ships could arrive on the UK coast, or on the UK flag, and therefore have to respect the exemptions granted.

1.6.3.9 Stability arrangements are unchanged because the preamble to 2003/25 makes clear that the directive is without prejudice to arrangements made under the Stockholm Agreement (SA) - i.e. our SA requirements take priority. So for example, a Greek Mediterranean ferry that does not need to comply with 2003/25 until year 2010 but would have to comply immediately with UK SA regulations on arrival on the UK coast.

1.6.3.10 The Regulation requires Member States to report annually to the Commission on the implementation of this regulation. The report will provide statistical data on the transfer of ships carried out in accordance with this Regulation and list any difficulties encountered in its implementation. Surveyors are therefore requested to provide any such information to CG&R Branch and in particular to note and follow 1.6.1 and 1.6.2 in order that this report can be compiled and submitted.

1.6.4 Registry issues

1.6.4.1 The UK Register is not an 'open' one and eligibility to register in the UK must be proved. Eligibility requirements are contained in the Merchant Shipping (Registration of Ships) Regulations 1993 SI 1993/3138 or the Merchant

Shipping (Registration of Fishing Vessels) Regulations 1988 SI 1988/1926 and summarised on the UK Ship Register website.

1.6.4.2 The Step by Step Guide to Registration on the UK Ship Register website contains links to associated registration forms and customers should be encouraged to use this.

1.6.4.3 The Registry will require a Certificate of Survey in order to confirm principal particulars of the ship. While MCA forms exist (MSF 2302 or MSF 2304 if <24m) the class society's own forms are normally acceptable.

1.6.4.4 Customers and any non MCA surveyors appointed to witness Carving and Marking at change of flag should be reminded that no certificate of registration can be issued without the ship being properly re-marked and a signed Carving and Marking Note being received at the Registry. The original signed Carving and Marking Note must be returned to the Registry before an original Certificate of Registry is issued.

1.6.4.5 The ship will require a UK Tonnage Certificate (ITC 69) within 3 months of registration. This is normally done by the class society.

Continuous Synopsis Records (CSR).

1.6.4.6 Specimens of the forms referred to below are in the Cargo Ship Security Instructions.

1.6.4.7 Only the RSS can issue a ship's CSR document (Form 1) for UK registered ships. The first CSR document issued to a ship will be numbered "1" and subsequent CSR documents will be sequentially numbered. The sequential numbering continues across change of flag throughout the life of the ship.

1.6.4.8 Whenever issuing a CSR document to a ship, MCA will provide all information in rows 1 to 16 of Form 1 (indicating "N/A" if not applicable). Information number 7 to 8 on the CSR only has to be completed if the ship is bareboat chartered.

1.6.4.9 Additionally, whenever an Amendment form is attached to the ship's current CSR document, details of the amendment have also to be entered in the index of amendments (Form 3) and attached to the current CSR document in date order.

1.6.4.10 Following the receipt of copies of one or more amendment forms, Registry is required to issue a revised and updated CSR document as soon as practically possible but not later than three months from the date of the change. Amendment forms should not be completed by MCA staff.

1.6.4.11 In case of a change of flag, the previous flag State has to issue a new CSR document to the ship showing the date the ship ceased to be registered with that flag. That flag State is required to send a copy of the ship's CSR file, without delay, to the new flag State.

1.6.5 Survey & Certification

1.6.5.1 The CSM will assist the customer with any queries they might have regarding survey and certification matters. The Tonnage Tax is a tax matter and not a safety one. Enquirers should be referred to HM Revenue and Customs, although basic information on its application is available on the UK Ship Register website.

1.6.5.2 The CSM is also responsible for overseeing the complete registration and certification process to ensure, as far as possible, that the ship complies with UK legislation when it begins sailing as a UK ship. This includes, in addition to the roles in 1.2.1:

- ensuring that Safe Manning Document has been issued and the owners are aware of UK CEC requirements.
- reminding owners to obtain a UK radio license and register the EPIRB
- establishing what documents need to be re-approved by MCA and instructing the owners to submit them
- informing RSS that they are CSM for the ship, so that any problems can be quickly resolved
- establishing that arrangements are in place for any delegated certifying authorities e.g. class society to issue UK certificates
- ensuring that arrangements are in place for UK certificates to be issued for MCA survey matters, either issued by MCA or issued on MCA's behalf by appointed class surveyor.
- ensuring that CLC/Bunker Certificate(s) are obtained
- dealing with issue or re-issue of any exemption certificates
- dealing with any other non compliances with UK law arising from the change to UK flag eg. UK interpretations of Conventions that differ from the losing flag's or Marine Equipment Directive issues.

Safety Management Certificates

1.6.5.3 If the flag in matrix is such that Class may carry out the change of flag surveys, Class may be authorised for all surveys and for the ISM to audit and issue an Interim Safety Management Certificate, with maximum validity of 6 months. MCA audit will be required to follow within 3 to 6 months.

16.6.5.4 If a pre-flag in inspection is carried out and the ship is already under the management of the company with adequate records (at least 3 months) to enable a proper ISM audit to be carried out, then subject to satisfactory audit, the full term Safety Management Certificate may be issued to the expiry of the present certificate, up to the maximum of 5 years.

1.6.5.5 If the pre-flag in inspection is carried out before the new owner has taken over the ship, the inspection can only determine the quality of the ship and not the gaining company management system. If the MCA DoC/other records indicate the company is known to be of good quality, then Class may be authorised to carry out all change of flag surveys, subject again to issue of an

Interim SMC for maximum of 6 months. MCA will then need to carry out an ISM audit within 3 to 6 months following change of flag.

1.6.5.6 If the pre-flag in inspection indicates significant problems or the company is not known to MCA, then MCA should carry out the ISM Interim and require an emergency drill to be demonstrated at the change of flag.

1.6.6 Marine equipment approval

1.6.6.1 The Merchant Shipping (Marine Equipment) Regulations 1999 require that certain equipment which is listed in the Annex A.1 to the Marine Equipment Directive (MED - 96/98/EC) is MED approved and marked with a wheelmark indicating compliance with the Directive. Items in Annex A.2 require type approval by a nominated body recognised by the UK.

1.6.6.2 If the equipment was manufactured before the 1 January 1999 it does not need the wheelmark but should be SOLAS approved to the requirements of the flag administration.

1.6.6.3 Surveyors can do their normal operational checks required by the survey but they should not ask for wheelmarked equipment to be re-tested.

1.6.6.4 Equipment which is required to comply, but does not, with the Marine Equipment Directive can be accepted on EU ships, including UK ships, under certain circumstances:-

At time of flagging in (Reg 9):

a) from a non EU flag –
equipment which is required to comply with MED may be accepted provided it is approved to the same IMO standards by:

- (i) a UK recognised class society OR
- (ii) an EU Notified body OR
- (iii) an administration that is a member of IMO OR
- (iv) MCA

AND (in addition to options (i) to (iv) above)

- (v) has been inspected by a surveyor of, or appointed by, the MCA.

Flag states are required by Article 8 of the Directive to issue a 'certificate' showing acceptance of any non MED compliant equipment on board so a certificate stating this and specifying any conditions of acceptance should be issued – see specimen attached at annex 13.

b) from an EU flag –

documentation should be on board as described above. A certificate should be issued as evidence of the new flag State's acceptance based upon the losing flag's prior acceptance.

Where equipment needs to be replaced outside the EU but MED equipment is not available (Reg 10):

1.6.6.5 On receipt of notification from an owner that this is the case evidence should be sought that the equipment meets one of points (i)-(iv) above and arrangements should be made for inspection of the equipment to be carried out by a surveyor. A certificate stating acceptance should again be issued.

1.6.6.6 Surveyors should be careful when establishing when equipment needs to be MED compliant as the list of applicable equipment is currently amended annually. See tables in:

- Annex to MSN 1734 from 5 August 1999
- Annex to 2001/53/EC from 31 December 2001 (implemented by MSN 1734 amendment 1)
- Annex to 2002/75/EC from 23 September 2002 (implemented by MSN 1734 amendment 2)
- Annex to 2008/67/EC from 30 June 2008 (implemented by MSN 1734 amendment 3)
- Annex to 2009/26/EC from 6 April 2009 (implemented by MSN 1734 amendment 4)
- Annex to 2010/68/EU from 10 December 2011 (implemented by MSN 1734 amendment 5)
- Annex to 2011/75/EU from 5 October 2012 (implemented by MSN 1734 amendment 6)
- Annex to 2012/32/EU from 30 November 2013 (implemented by MSN 1734 amendment 7)

Care is also needed when items transfer from Annex A.2 to A.1 as they may be accepted with previous non-MED approval for an extended period of 2 years after the date of the amending directive.

1.6.6.7 Section 25 of the Merchant Shipping (Marine Equipment) Regulations 1999 gives powers to detain where equipment on board a ship does not meet the following;

- The equipment does not comply with the requirements of the regulations.
- The surveyor is satisfied that the owner has not complied with a direction under s.9.2 of the MS (Marine Equipment) Regulations 1999.

1.6.6.8 Section 9.2 of the regulations covers the flagging in of a ship on to the UK registry. It requires the MCA to inspect or have inspected the equipment on board to ensure that the equipment either complies with the Directive or is equivalent.

1.6.6.9 If the surveyor is not satisfied that the equipment complies with the Directive or is equivalent they must direct in writing that the owner replaces the equipment.

1.7 Changes in Registration

1.7.1 Change of Ship Name

At the Registry

1.7.1.1 A new Certificate of Registry will be required. The owners should contact Registry of Shipping & Seamen (RSS) and send application form (MSF 4741) for change of name to RSS together with the relevant fee, unless a single fee deposit has been arranged for all work. RSS will issue a Carving and Marking note to be completed by attending surveyor when the new name has been marked on the ship.

1.7.1.2 Any Continuous Synopsis Record (CSR) will also need to be updated by RSS. Whenever any change relating to the entries listed in the current CSR document of the ship has taken place, this change will be included without delay in the ship's CSR.

1.7.1.3 Pending the issue of a revised and updated CSR document by MCA, the company or master is required to complete an CSR Amendment form, available in the Security Instructions to Surveyors. The original of the form is to be attached to the current CSR document. Additionally, whenever an CSR Amendment form is attached to the ship's current CSR document, details of the amendment have also to be entered in the index of amendments and attached to the current CSR document in date order.

1.7.1.4 A copy of the completed CSR Amendment form has to be forwarded without delay to RSS for action.

1.7.1.5 Following the receipt of copies of one or more amendment forms, RSS is required to issue a revised and updated CSR document as soon as practically possible but not later than three months from the date of the change. Amendment forms should not be completed by MCA staff.

In the marine office

1.7.1.6 It should be confirmed that the owners have notified all issuers of statutory certificates of the proposed name change e.g. Class. In addition SIAS should be updated and CM registry notified.

1.7.1.7 Unless MCA is due to attend to carry out a survey on the ship a Class Society surveyor will probably be appointed, see 1.1.4, to carry out change of name formalities on board. MCA may charge a fee for the re-issue of certificates etc. involved in change of name, even if not attending the ship.

On board

1.7.1.8 No action is required for existing ISM DOC.

1.7.1.9 On receipt of a revised and updated CSR document, the master should check its sequential number and review the document to ensure that it covers all relevant Amendment forms attached to the previous CSR document.

1.7.1.10 In the event that this review establishes that there are outstanding amendments not reflected in the latest CSR document, the master should:

- complete new Amendment form(s) relating to each outstanding amendment and attach it to the latest CSR document;
- list the amendment(s) referred to above in the index of amendments attached to the latest CSR document; and
- forward copies of the amendment form(s) to MCA.

1.7.1.11 Statutory certificates should be replaced by new certificates with the new details as soon as possible. Statutory certificates that are not being renewed on the day of change must be amended by hand and endorsed by ink stamp by the attending surveyor.

1.7.1.12 Approved plans and booklets may be amended by the attending surveyor with hand with ink stamp endorsement e.g.

- Stability book.
- SOPEP /SMPEP
- P & A Manual
- Cargo Securing Manual

and do not need replacement unless other changes have rendered them inaccurate.

1.7.1.13 Relevant pages of the security plan will need to be corrected and submitted to MCA for re-approval.

1.7.1.14 It should be verified that the correct information is being transmitted by AIS and LRIT equipment. A new LRIT Conformance Test Report should have been issued showing the change of name (a re-test is not required).

Other issues

1.7.1.15 The radio station license needs amendment by sending fax or e mail notification to OFCOM or complete ship radio station licence amendment form [OF27] obtainable from the OFCOM website www.ofcom.org.uk , Tel: +44 (0) 870 243 44 33 Fax: +44 (0) 1179 218444

1.7.1.16 The EPIRB registry needs to be advised of change of ship name Tel +44 1326 211 569 or Fax +44 1326 319 264 or e mail epirb@mca.gov.uk

1.7.2 Change of owner or manager

At the Registry

1.7.2.1 The new owners/ managers should contact Registry of Shipping & Seamen (RSS) to make arrangements for change of registration, mortgages etc. Applications will need to be accompanied by appropriate fee unless a single fee deposit has been agreed for all work.

1.7.2.2 Any Continuous Synopsis Record (CSR) will also need to be updated by RSS. Whenever any change relating to the entries listed in the current CSR document of the ship has taken place, this change will be included without delay in the ship's CSR.

1.7.2.3 Pending the issue of a revised and updated CSR document by RSS, the company or master is required to complete an CSR Amendment form, available in the Security 'Instructions to Surveyors'. The original of the form is to be attached to the current CSR document. Additionally, whenever a CSR Amendment form is attached to the ship's current CSR document, details of the amendment have also to be entered in the index of amendments and attached to the current CSR document in date order.

1.7.2.4 A copy of the completed CSR Amendment form has to be forwarded without delay to RSS for action.

1.7.2.5 Following the receipt of copies of one or more amendment forms, RSS is required to issue a revised and updated CSR document as soon as practically possible but not later than three months from the date of the change. Amendment forms should not be completed by MCA staff.

In the marine office

1.7.2.6 If the new owners do not have a Customer Service Manager (CSM) then one may need to be appointed – see [1.2.2](#).

1.7.2.7 The CSM should confirm that the change in owners has been notified to all issuers of statutory certificates e.g. Class or DfT's Transport Security Compliance. In addition SIAS should be updated.

1.7.2.8 A new Safe Manning Document will be required. The new owners need to complete form MSF 4227 which is downloadable from www.ukshipregister.co.uk or www.mcga.gov.uk. When submitting the form the owners should make clear that application is with respect to an existing UK ship.

1.7.2.9 The CSM should advise the new owners to the UK flag that they will require a DOC. For those companies who have less than half of their vessels with the UK Flag ISM Policy Branch will authorise flag states which are listed in the 'white list' or 'grey list' of the Paris MOU to conduct audits and issue a DOC on its behalf. MCA will also authorise ROs which are approved by those flags state and which are also recognised by the UK. For companies who have half or more of their vessels on the UK Flag the DOC Audit would be carried out by the MCA. It should be verified that any existing DOC covers the ship type(s) being taken over.

1.7.2.10 An Interim Safety Management Certificate (SMC) will be required on change of owner/ manager. An SMC initial audit will be required within 6 months.

1.7.2.11 An Interim ISS Certificate will be required on change of owner/manager. An ISPS initial verification will be required within 6 months. The new owners' Ship Security Assessment (SSA) and Ship Security Plan (SSP) should be submitted to MCA. Depending on circumstances the MCA may issue an Interim ISSC on the basis of submitted SSA and SSP or a visit may be required.

1.7.2.12 An Interim MLC Certificate will be required on change of owner/manager. An MLC initial inspection will be required within 6 months.

1.7.2.13 Depending on the circumstances, a class society surveyor may be appointed to issue an interim SMC and MLC Certificate following the basic on board checks required. The new owners should be advised that only MCA carries out ISM audits, MLC inspections and ISPS verifications on UK ships and that these should be arranged via the Customer Service Manager.

1.7.2.14 Some other ship's plans may need re-approval e.g.:

- SOPEP/ SMPEP
- Cargo Securing Manual
- P & A Manual

1.7.2.15 MCA may charge a fee for the re-issue of certificates etc. involved in change of owner, even if not attending the ship.

On board

1.7.2.16 The attending surveyor can amend the owners details on statutory certificates. (MCA will issue new SEC and Dangerous Goods DOC only if ship's name is changed). The new ISSC, SMC, MLC Certificate, SMD and CSR certificates should be verified as being on board and manning levels meet those required by the SMD.

1.7.2.17 On receipt of a revised and updated CSR document, the master should check it as per [1.7.1.9](#).

Other issues

1.7.2.18 The new owners need to make application for UK Radio Station Licence to OfCom - www.ofcom.org.uk , Tel: +44 (0) 870 243 44 33 Fax: +44 (0) 1179 218444. If retention of the same RCS and MMSI No is desired then OfCom should be advised and details of previous vessel and owner supplied.

1.7.2.19 The EPIRB registry needs to be advised of change of owners - Tel +44 1326 211 569 or Fax +44 1326 319 264 or e mail epirb@mcga.gov.uk

1.8 Complaints

1.8.1 If a customer is dissatisfied with an aspect of a survey or inspection (including PSC) then the involved surveyor should discuss the issue with the customer. If the customer is still dissatisfied the matter should be referred to the CSM (if there is one) or the surveyor's AOM/SiC. Complaints vary considerably

in their scope and surveyors and CSMs will need to judge their seriousness and decide whether any decision taken has implications for survey and inspection consistency throughout the Agency. If the matter involves survey or inspection policy then the CSM/AOM/SiC should alert the Survey or Inspection Operations Managers. The National Director – Business Delivery (S&I) should also be made aware. The Survey or Inspection Operations Managers will consult as necessary with the Assistant Director – Technical Performance.

1.8.2 In responding to the complaint, CSMs/AOM/SiCs should be guided by corporate procedure CORP 32- Target and Indicators Guide Part A and Annex A. Appropriate records of all customer complaints should be distributed and kept in accordance with the corporate procedure and should keep their SiC/AOM informed about the status of any complaints. If the issues raised pertain to other Marine Offices, the CSM / SiC should also keep relevant AOMs and the National Director – Business Delivery S & I informed.

1.8.3 If the matter can not be resolved verbally, then the customer can make a complaint in writing. In this case the procedure in the MCA Complaints leaflet should be followed.

Author	L Grillandini	Branch	Survey Operations
Approved by	S Roberts	Branch	Survey Operations
Authorised by	T Elder	Branch	Tech Performance

Annex 1 - Customer Service Managers (Survey and Inspection) Terms of Reference and Best Practice

Terms of Reference for Customer Service Managers

Customer Service Managers (CSMs) normally have substantial experience as an MCA marine office surveyor.

CSMs should:

- Be the first or backup point of contact during normal working hours with ship owners and with the Class Society for issues relating to any ship of that company (except for specific surveys under the charge of a lead surveyor);
- Be aware of the importance of Customer Service and the need for prompt follow up of requests from companies;
- Ensure, in liaison with attending surveyors (MCA or Class), that recorded deficiencies during pre-flagging inspections are rectified;
- Maintain an overview of customer's fee account and monitor fees for consistency;
- Maintain regular contact by phone/email/meeting with the customer;
- Seek feedback from the company on the quality of MCA service (good or bad), and promote consistency and 'Safety Through Partnership';
- Use consistent E-track code for non fee earning CSM work and ensure that appropriate fees are charged for any fee earning work done by them;
- Maintain records of relevant communication with the company including minutes of meetings on designated MSA 08/xx/xx file or Company DOC file or CM xx/27/01 file or other appropriate CM files;
- Flag up concerns/issues internally as required to ensure timely resolution, and for monitoring and analysis; and
- Provide feedback on issues with Class to External Monitoring and Assurance Section, HQ, as part of the Class monitoring programme.

On appointment, CSMs should be familiar with:

- the role of Customer Account Manager (CAM);
- policy & process for flag-in to UK Flag and the RSS procedures;
- excess regulations and MCA interpretation of International Regulations;
- Class agreements and how class appointments are made for nondelegated surveys;
- MCA subscription service to customers;
- benchmarking and flag monitoring processes;
- MCA's Alternative Compliance Scheme – MGN 345(M);
- Company's vessels type and their operations; and
- MCA complaints procedure.

Annex 2 - Example Agenda for Annual Customer Service Manager (CSM) Meetings

Company's Name
Date, Location

1. Attendees and Apologies
2. Introduction, Welcome and Domestic
3. Changes in structures and/or resource within MCA and/or Company
4. Contact details (CSM, Backup CSM, CAM, MCA 24/7, Company)
5. Minutes and Actions from previous meeting
6. Effectiveness of communications / correspondence
7. Recent Surveys, Inspections and Audits
8. Recent/Forthcoming legislation
9. Survey Calendar/plan for the current year
10. Feedback from Customers on the quality of MCA service (good or bad)
11. Feedback from Customers on delegated surveys carried out by Class.
12. Port State Control performance, Notable incidents, near miss, etc
13. Achievements (Highlights)/Concerns (Lowlights)
14. Future activities (Look Ahead/ Flagins/ Newbuilds)
15. AOB

Annex 3 - CSM appointment letter to customer template

Your Details
AddressLine2
Spring Place
105 Commercial Road
Southampton
SO15 1EG

Recipients address

Tel: +44 (0)23 8032 9ExtNo.
Fax: +44 (0)23 8032 9FaxNo.
E-mail: E-mail name@mcga.gov.uk

Your ref: Their Reference
Our ref: Reference

29 October 2012

Dear

MCA Customer Service Manager (CSM)

The Maritime and Coastguard Agency prides itself on providing good service and advice to its customers on the UK Ship Register. We seek to respond swiftly and consistently to your queries. This is done through your Customer Service Manager (CSM) and back up arrangements within the local Marine Office. I take this opportunity to introduce myself as the CSM who has been allocated to your company. My colleague [name] will be the back up CSM to cover any period when I am away.

In summary the following will be my role as your CSM:

1. To provide a single point of contact for all technical issues concerning UK flagged ships in your fleet. I am willing to assist you with all your queries in relation to UK flag requirements. I, or my back up, will normally be available during working hours and I trust that you will find this a useful additional service to the MCA Duty Surveyor number (+44 (0) 7810 528 504) which remains available outside normal working hours for urgent matters;
2. Arrange pre flag in inspections and initial registration surveys, working in tandem with your MCA Customer Account Manager (CAM) for the smooth transfer of your ships to the UK Ship Register;
3. Co-ordinate plan approval validation and stability calculations/assessments, where necessary, of your ships joining the register whether they be existing ships, new ship buildings or modifications;
4. Provide appropriate technical advice regarding the details of certification, plans and other operational information for your ships;
5. Attend meetings as mutually agreed with you to discuss any technical issues and provide guidance to your staff as you may require; and
6. **Act as a point to receive feedback on any improvements in survey and inspection service delivery that might be required.**

In line with the MCA objective of ensuring 'Safety Through Partnership', we hope that the above arrangements will assist in maintaining a good working relationship and help to reach our common goal of enhancing safety on board your vessels and pollution prevention.

I have taken this opportunity to attach the relevant contact details. I would appreciate if you could circulate this information to your colleagues.

I very much look forward to meeting with you in the near future.

Yours sincerely,

[Name]
Customer Service Manager

CONTACT DETAILS

Customer Service Manager

Name
Address
Tel:
Fax:
Mobile:
Email:

Marine Office Backup

Name
Address
Tel:
Fax:
Mobile:
Email:

Customer Account Manager

Name
Address
Tel:
Fax:
Mobile:
Email:

For urgent technical enquiries outside of normal working hours contact can be made with the Duty Surveyor through a dedicated number:

Tel: (0044) 7810 528

Annex 4 - Survey/audit planning template

Company/ IMO No.	Vessel/ IMO No.	DOC DATE	CSM	Back-up CSM	Contact Person	E MAIL	TEL	FAX	Last Company meeting

Company/ Contact name	Vessel/ IMO Number	ACS (Y/N)	CSM	Cert. Type	Expiry date	Survey/Audit Status: Type/Dates		Survey/audit window		Date survey / audit booked for	Comments/Follow up
						Last done	Next Due	Start	End		

Annex 5 – MCA Method of Working

MARITIME AND COASTGUARD AGENCY EXPLANATION OF MCA METHOD OF WORKING

1. Purpose

1.1 The purpose of this document is to explain the methods of working of the Maritime and Coastguard Agency (MCA) in order to improve our service to customers when conducting statutory survey work. No new principles are introduced but the aim is to streamline existing procedures.

1.2 Government Treasury rules require the MCA to recover all the costs of providing services, to receive fees from customers in advance of work done and to maintain a positive credit balance at all times within the fees account for the job. The MCA appoints a Lead Surveyor for each job whose responsibilities include monitoring fees.

2. Customer Service Managers/Customer Account Managers

2.1 All customers who have surveys/ audits carried out by the MCA on a regular basis will be made aware of the contact details of a surveyor in their local marine office who they can approach to discuss surveys/ audits or other matters. These customer contacts will also forward other types of queries to the correct part of the MCA for response. For larger companies and/or those with more complex ships, a Customer Service Manager (CSM) and/or Customer Account Manager (CAM) may be appointed.

2.2 The function of a CSM is to provide a single point of liaison between the MCA and the customer during the survey and certification process to help ensure consistency and quality of service to MCA's customers. Note that the CSM deals with the company as a whole and may not be allocated to a specific ships survey and certification requirements; this will be the role of the Lead Surveyor.

2.3 CAMs are part of the UK Ship Register (UKSR) Branch and act as a focal point for shipping companies to provide continuity throughout the flag-in process and while the company continues to have vessels on the UK register. They are responsible for administration and general policy matters and complement the service provided by Customer Service Managers.

3. The Process

3.1 The survey process proceeds as follows:

.1 If requested, the MCA provides a fee estimate based upon information received from the customer about the service to be provided by the

MCA (NB : The estimate is provided in good faith, but the MCA is bound by Government to recover all costs);

.2 The customer completes an Application for Survey on MCA form MSF 5100 (available at www.mcga.gov.uk, follow 'Ships and Cargoes' > 'Ship Surveys and Inspections' > MSF 5100);

.3 The customer submits the MSF 5100 to the appropriate MCA Marine Office with a deposit to cover the estimated fee
(Note : for long term jobs, the MCA will accept the fees paid by instalments, say 25% deposit with similar 'stage payment' deposits over the survey period, but ensuring that the deposit remains in credit at all times) ;

.4 The MCA appoints a Lead Surveyor;

.5 The Lead Surveyor will liaise as necessary with the Classification Society² regarding standard and non-standard delegation of approval and survey work. Fees for work carried out by a Classification Society on behalf of MCA will be charged by the Society direct to the customer;

.6 The Lead Surveyor monitors survey progress and the customer account and will invoice the customer for additional fees or a 'stage payment', where necessary, before the account goes into debt. In the event that the actual time exceeds the estimated time for surveys and plan approval, the customer will be advised in writing by the Lead Surveyor of:

- The reason for the additional time to be charged, and
- The revised estimate of time for the specific survey or plan approval.

3.2 The Fee Estimate

3.2.1 Items allowed for within the fee estimate **are**:

- Plan and data approval time;
- Estimated travel time (and travel costs for overseas jobs only);
- On board survey time;
- Attendance at a limited number of meetings (Typically two x 2hrs = 4 hours in total) ;
- Professional advice and guidance and interpretation of regulations one would normally expect to give to an organisation

² The seven UK recognised Classification Societies are: American Bureau of Shipping (ABS), Bureau Veritas (BV), Class NK, Det Norske Veritas (DNV), Germanischer Lloyd (GL), Lloyds Register of Shipping (LR) and Registro Italiano Navale (RINA)

competent to carry out the work for which survey has been requested.

3.2.2 Some typical items the fee estimate **does not allow for are:**

- The costs of issuing any exemptions and equivalencies identified and agreed during the approval stage;
- Delegated work carried out on behalf of the MCA by a recognised Classification Society (or authorised person for some radio surveys - see Marine Guidance Note (MGN) 392);
- Additional items (for new builds unless specifically included in the estimate) which would normally be the responsibility of the owner to arrange. For example: Safe Manning Document, Seafarer Certificates of Competence or Equivalent Competence, Passenger Counting and Recording, Safety Management Code Audits, Registration and registering of mortgages.
- Additional meetings (typically exceeding 4 hours) (e.g. discussions with owners, builders or their sub-contractors, consideration of equivalent arrangements)
- Re-approval of drawings or arrangements.

3.2.3 Estimate for costing purposes:

- Experience has shown that fees occasionally exceed the estimate due to a number of factors. Typical reasons for additional expense are submissions by persons without sufficient knowledge of the regulations, additional meetings between customer/contractor and MCA, re-submission of arrangements and drawings, and novel or unusual proposals.
- The fee estimate will be more accurate, the better the information provided at the estimation stage.
- Therefore, it is recommended that builders/owners allow for a reasonable contingency.

4. Plan Approval and Survey

4.1 *Plan Approval*

4.1.1 The MCA aims to complete approval of technical and operational plans within 20 working days of receipt of a fully documented and compliant submission, or against an alternative deadline agreed in advance with the customer. Submissions which are incomplete or non-compliant will be referred

back within 20 working days of receipt to the builders and/or owners for amendments and modifications and re-submission. In that case, final approval of plans will only be completed within 20 working days of receipt of a fully compliant re-submission.

4.1.2 In order for MCA to plan and use resources most effectively, the customer is requested to provide the Lead Surveyor with a work scope schedule which includes the production of drawings and technical information. Customers should consider the relative importance and urgency of drawings and documents requiring approval. These should be submitted in stages appropriate to the order of importance in the project programme. For example, watertight door arrangements and fire protection drawings need to be approved earlier in the design stage than, say, navigation light arrangements and bridge layout.

4.1.3 Further information on MCA performance indicators can be found on our website at www.dft.gov.uk/mca.

4.2 Assumptions

The fee estimate and plan approval timescale are based upon the following assumptions:

1. All plans and information are submitted in English;
2. The ship and its systems are of a conventional design
Note: If on subsequent examination of the plans, the systems are found not to be of a conventional design, extras may be charged for the additional time needed to examine and approve the plans;
3. The customer and their agents, advisors, consultants, contractors and sub-contractors are familiar with the relevant Merchant Shipping, European and International legislation;
4. All submissions are complete and in accordance with the appropriate United Kingdom (UK) Merchant Shipping Regulations, European Regulations or Directives, International Conventions and MCA guidance documents and, where applicable, include supplementary calculations to show the extent to which the systems comply with the relevant requirements of the regulations, thus enabling first time approval.
Note: Re-approvals and referrals back to the builders and/or owners for amendments and modifications and re-submission will involve **additional fees**;
5. All equipment is type approved to the appropriate standard by an EC notified or UK nominated body or an equivalent acceptable to the MCA (refer to Merchant Shipping Notices MSN 1734 and MSN 1735, as amended). Approved equipment and materials are used

in accordance with the conditions set out on the certificate of type approval;

6. Any subsequent re-submission of approved data, e.g. due to alterations, will involve additional approval fees. To minimise surveyor plan approval time and hence fees, all changes should be clearly marked;
7. All queries regarding interpretation or application of the Regulations will involve additional fees. Competent persons with a thorough knowledge of the regulations, guidance and instructions should be employed by the customer;
8. Systems should be ready for survey at the prescribed time without the need for the surveyors to wait or make repeated visits. (A survey, trials and testing programme should be submitted to the Lead Surveyor in good time to allow MCA to schedule resources)
Note: Time taken for "waiting" and repeat surveys will be charged as extras³. The customer will be charged for time lost while the surveyor is on site, resulting from circumstances beyond the control of the MCA (force majeure), e.g. unsuitable weather conditions for inclining etc. However, time lost in travelling to and from the survey site, resulting from circumstances beyond the control of the customer, will not be charged, e.g. travel delays as a consequence of weather, transport breakdown/cancellations etc.;
9. The estimate allows for [a specified number of]⁴ visits to the shipyard. If, in the opinion of the surveyor, additional visits are required then these will be charged in addition to the estimate;
10. The estimate makes no allowance for inspection and test of items at the manufacturers works, unless specifically stated;
11. The estimate does not include fees for surveys at the ship of those items that may be delegated to a local Classification Society surveyor on behalf of the MCA;
12. The estimate is based upon the current hourly charge that is set by UK Statutory Instrument (regulation). The Fees Regulations are kept under review and are subject to change from time to time. It should be noted that these regulations require that the MCA charge for the actual hours expended on the discharge of its responsibilities at the rate current at the time, and is under obligation to

³ The Lead Surveyor will notify the customer in writing, as soon as possible, of:

- Time incurred "waiting" for the survey to commence, and
- A repeat of the survey if this is required

⁴ As indicated on the fee estimate

Government to recover the cost of these activities. No allowance has been made in the estimate for overtime working;

13. Travel and subsistence costs for surveys overseas are charged to the customer. The rates are based on Government guidelines and will be charged at the rate applicable at the time incurred.

4.3 Stability Approval

4.3.1 In cases when stability approval has been delegated to the Classification Society or Certifying Authority, owners/ship builders should approach the relevant organisation directly. If the MCA has retained responsibility for stability approval, the fee estimate will also include estimated hours for this work. The MCA Lead Surveyor will advise which organisation has responsibility for stability approval.

4.3.2 Where the MCA is responsible for stability approval, the Lead Surveyor will forward a copy of the Stability Questionnaire (MSF 2200) to the ship builders along with the documents explaining the MCA's method of working. The Stability Questionnaire should be returned to MCA as soon as possible.

4.3.3 In order for the MCA to plan ahead, the builder should advise the MCA Lead Surveyor of the schedule of construction: MCA will in turn advise the anticipated lead time for stability approvals. Ship builders/owners should submit the preliminary stability/damage stability information booklets at an early stage during construction, which will help early agreement on the form and content of the booklet and avoid possible delays during the final approval stage. See also MSIS 9.

5. Relationship with Classification Society

5.1 Introduction

5.1.1 The MCA has written agreements with the seven UK recognised Classification Societies on the full delegation of some statutory surveys. These agreements cover, amongst other matters, hull, machinery and electrical surveys. In order to minimise visits by MCA surveyors, the MCA is prepared to agree on a case by case basis with local Classification Society surveyors areas of MCA responsibility which can be covered by the local Classification Society exclusive surveyor on cargo ships, where full delegation is not covered by the class agreement, with the aim of reducing MCA fees and hence overall costs. Examples include the monitoring of fire insulation installation over a period of weeks and the installation of fire fighting piping systems, when the MCA surveyor is not present.

5.1.2 Where it has been formally agreed with the relevant Classification Society, the Class surveyor will act as a single point of contact with the shipyard for newbuild plan approval. Any plans for approval by MCA will be passed on to the Lead Surveyor by the Class surveyor.

5.2 Procedure

5.2.1 For surveys fully delegated to the Classification Societies by general written agreement, no additional authorisation is necessary. However for aspects not covered by the general agreement, special authorisation is required and MCA will issue a letter of appointment to the nominated Classification Society surveyor including details of the scope of the authorisation. The Class surveyor should acknowledge receipt of such authorisation – a document will be sent to the surveyor by MCA for such purposes.

5.2.2 The MCA will agree with the Classification Society the relevant responsibilities, in accordance with the written agreements and any letter of appointment, as set out in a matrix to be provided at the time of the appointment.

5.2.3 The MCA will agree with the customer and Class surveyor the appropriate target minimum number of MCA visits to the ship under construction. Typically key milestones would be:

- Early in construction to establish the quality control in the shipyard and clarify any issues with the yard and Class surveyor, and commencement of installation of fire protection;
- Mid term inspection of fire protection and installation of piping systems;
- Witness the inclining experiment (when MCA is responsible for stability approval);
- Functional tests/sea trials;
- Interim ISM and ISPS Code audits and emergency drills.

5.2.4 The nominated Class surveyor attending the ship during construction must keep the Lead Surveyor informed of progress in writing. They must monitor the construction in relation to MCA accepted drawings and bring to the attention of the Lead Surveyor any deviations from the accepted drawings

5.2.5 The nominated Class surveyor must give a declaration on completion that the ship has been built in accordance with MCA accepted plans, meets the Class areas of responsibility and meets the additional items/inspections as laid out in the supplied matrix and any other items of survey specially agreed to be surveyed by Class on behalf of MCA during construction (in order to avoid unnecessary additional visits).

5.3 Alternative Compliance Scheme

5.3.1 As an alternative to the 'standard' procedure outlined in 4.1 and 4.2 above, the MCA also operates the Alternative Compliance Scheme (ACS). This

scheme streamlines the survey and certification process whilst maintaining standards and minimising duplication of effort with the Classification Society.

5.3.2 The scheme delegates all survey and certification work, including plan approval, to the Classification Society, with the exception of International Safety Management (ISM) Code and International Ship and Port Security (ISPS) Code audits and certification, MLC inspections and the issue of Exemptions. This allows the MCA to maintain an oversight of the structure of the ship and its management systems through ACS inspections (for issuance of Certificates of Inspection), ISM and ISPS audits and MLC inspections.

5.3.3 For newbuild ships, the scheme reduces the number of visits that will be made by the MCA surveyor and the Class surveyor will act as a single point of contact with the shipyard for plan approval and the majority of survey and certification matters (an initial letter of appointment will still be required). Further information can be found in Marine Guidance Note (MGN) 345(M).

5.3.4 The MCA fee estimate will take account of the differing level of MCA involvement for ships enrolled on ACS.

6. Complaints

6.1 Complaints and arbitration should be dealt with in accordance with the MCA's complaints procedure. Details are available at www.mcga.gov.uk, follow 'About Us' > 'Contact Us'.

Annex 6 – Procedural Agreement

MARITIME AND COASTGUARD AGENCY PROCEDURAL AGREEMENT FOR CLASSIFICATION SOCIETY INSTRUMENT OF APPOINTMENT

Introduction

The Maritime and Coastguard Agency (MCA) has in place standard agreements with the United Kingdom (UK) recognised organisations (Classification Societies⁵) on the delegation of statutory survey and certification services for hull and machinery, for vessels registered in the UK.

In order to minimise the required number of visits by MCA surveyors, particularly on overseas work, the MCA is also prepared to negotiate with the local Classification Society, through the British Committee member of that society where appropriate, specific areas of MCA responsibility which can be delegated to Class, under a formal appointment.

Purpose

The purpose of this document is to set out the required Procedural Agreements (PA's) of the Maritime and Coastguard Agency, in order to improve and standardise the service given to and received from, these listed Classification Societies, under the Instrument of Appointment procedure.

The Process

1. The MCA will advise the UK and local offices of the relevant Classification Society of the MCA Lead Surveyor and Customer Service Manager for the project. The UK Class office will liaise with the local office regarding specific UK requirements, including the requirements of the Marine Equipment Directive (MED), as necessary.
2. The MCA will issue a formal letter of appointment to the nominated local Classification Society surveyor(s), in accordance with the standard agreement. The nominated Classification Society surveyor should be an exclusive surveyor and fluent in the English language.
3. The MCA Lead Surveyor will confirm in detail with the appointed Classification Society surveyor(s), the relative responsibilities, as set out in the completed approval and testing matrix and cover fax. This will include reference to the areas of survey work that require continuous monitoring and recording, with regular reports back to MCA.

⁵ American Bureau of Shipping (ABS), Bureau Veritas (BV), Class NK, Det Norske Veritas (DNV), Germanischer Lloyd (GL), Lloyds Register of Shipping (LR) and Registro Italiano Navale (RINa)

4. The appointed Classification Society surveyor(s) should agree the survey and testing matrix, as issued in duplicate, and endorse and return one copy to the MCA.
5. The appointed Classification Society surveyor should also complete the acknowledgement form provided, covering the assigned Instrument of Appointment and Procedural Agreement.
6. The MCA Lead Surveyor will ensure that the appointed Classification Society surveyor(s) is copied in on all relevant correspondence between shipyard/consultants and MCA.
7. A focal point in the shipyard/consultant drawing office will be responsible for ensuring that the appointed Classification Society surveyor(s) has the latest revision of accepted drawings and this should be confirmed to the MCA Lead Surveyor.
8. The appointed Classification Society surveyor(s) should monitor the construction in relation to the MCA accepted drawings and advise the MCA Lead Surveyor of any deviations or changes onboard.
9. The MCA Lead Surveyor will agree with the appointed Classification Society surveyor(s) the number of written progress survey reports they will be required to submit to the MCA during the build period, with deadlines. This report should include, but not be limited to, items covering:
 - Plans approved during reporting period with comments/remarks;
 - Survey/tests/inspections carried out during reporting period, including comments/remarks and those projected for next period;
 - General construction progress.
10. The MCA will confirm with the local Classification Society office the actual number of visits that the MCA surveyor will make and at which key stages (control points).
11. The appointed Classification Society surveyor(s) should give an official Survey Declaration upon completion, confirming that the ship has been built in accordance with the MCA accepted plans, the ship satisfies the class areas of responsibility and the ship meets the additional items/inspections, as laid down in the approval and testing matrix.
12. It should be noted that the Classification Society have no powers to grant exemptions, issue exemption certificates or waive any statutory requirements in regards to statutory surveys carried out under this appointment procedure. The interpretation of the regulations and the determination of any equivalency status is the sole responsibility of the MCA.
13. Copies of the Instrument of Appointment, approval and testing matrix, periodical Class Reports, Class Declaration of Survey and other related

papers will be retained on the CM 27/01 file for the vessel, by the MCA Lead Surveyor.

14. The Classification Society survey fees under the MCA Instrument of Appointment will be for Class to arrange directly with the owner/shipyard and does not form any part of the MCA fee estimate.

[Name of MCA Lead Surveyor]
[Position]
[Marine Office]
Maritime & Coastguard Agency
[date]

Annex 7 – Approval & Testing Matrix template

APPROVAL & TESTING MATRIX

Notes for MCA Surveyors

This page to be deleted prior to issue.

The matrix below is to be completed as per the class agreements and any Instrument of Appointment that is issued by Survey Operations Branch for case-by-case delegation.

Text shown in **blue** relates only to passenger ships and should be deleted for cargo ships.

Text shown in **pink** will need to be amended for every case, according to the stability approval authorisation for the specific vessel type and size (or as authorised by Stability Unit).

Text shown in **green** will need to be amended on a case-by-case basis.

Other text should be amended as appropriate to each case, as necessary (i.e. for ACS vs. non-ACS).

DRAWING/PLAN [Vessel Name/Hull No]	APPROVAL AND TESTING ARRANGEMENTS					REMARKS * Class test / survey under MCA Instrument of Appointment unless MCA attendance scheduled within agreed Procedural Agreement visit requirement.
	[Class]		MCA		MCA/ [Class]* Test / Survey	
	Plan approval	Install. test or survey	Plan approval	Install. test or survey		

PLEASE NOTE THE FOLLOWING GENERAL POINTS:

1. It is the responsibility of [Yard/Owner] to re-submit all drawings for re-approval where changes have been made
2. [This is the first/second/third of a series of ...]

1 HULL						
i. Shell and deck plating	Y	Y				
ii. Peak and machinery space bulkheads, shaft tunnels, etc.	Y	Y				
iii. Double bottoms	Y	Y				
iv. Construction of watertight bulkheads	Y	Y				
v. Openings in watertight bulkheads, etc.	Y	Y		Y	Y	
vi. Means of closing openings in watertight bulkheads, etc.	Y	Y		Y	Y	
vii. Means of operating sliding watertight doors	Y	Y		Y	Y	MCA regarding safe operation.
viii. Watertight doors: signals and communications	Y	Y				
ix. Construction and testing of watertight doors	Y	Y		Y	Y	Tested during factory construction and onboard as required by Class.
x. Openings in the shell plating below the margin line, i.e. Inlets and discharges	Y	Y				
xi. Marking of doors, valves and mechanisms	Y	Y		Y	Y	Drawing to be sent to MCA Security Inspector with respect to ISPS
xii. Stern Door, Integrity of the hull and superstructure, damage prevention and control. (R 17-1)	Y	Y		Y	Y	Indicator, Alarm, TV surveillance.
xiii. Watertight integrity from the ro-ro deck (bulkhead deck) to spaces below (R 17-1)	Y	Y		Y	Y	All access below the bulkhead deck shall have a lowest point which is not less than 2.5 metres above the bulkhead deck.
2 LOAD LINE						

NOT PROTECTIVELY MARKED

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i. Side scuttles, deadlights & storm covers	Y	Y		Y	Y	Bridge windows and windows above freeboard deck in accordance with BSMA:25 or ISO equivalent for Class approval. Copy to MCA.
ii. Weather deck, doors, Air pipes and ventilators	Y	Y		Y		MCA involvement in Intact superstructure with respect to Stability
iii. Scuppers and drains	Y	Y		Y		MCA in respect of adequate drainage
iv. Freeing ports	Y	Y		Y		
3 BOILERS AND MACHINERY						
i. General – Engine Room layout	Y	Y	COPY	Y	Y	MCA involvement with reference to MARPOL
ii. Machinery	Y	Y				
iii. Means of manoeuvring and going astern	Y	Y				
iv. Boilers and other pressure vessels						As per Class rules
v. Air pressure systems	Y	Y				
vi. Cooling systems	Y	Y				
vii. Oil fuel installations: (boilers and machinery)	Y	Y				
viii. Oil systems for lubricating, heating, cooling and control	Y	Y				
ix. Machinery controls	Y	Y				
x. Steering gear/emergency steering gear	Y	Y		Y		
xi. Ventilating systems in machinery spaces	Y	Y		Y	Y	Vent shutdown.
xii. Communication between navigating bridge and machinery space	Y	Y				
xiii. Engineers' alarm	Y	Y				
4 ELECTRICAL EQUIPMENT & INSTALLATIONS						
i. General	Y	Y				
ii. Main source of electrical power and main switchboards	Y	Y				
iii. Lighting systems (normal and emergency)	Y	Y	Y	Y	Y	MCA involvement in Escape routes, Deck and over side prep lights.
iv. Supplementary Emergency lighting	Y	Y	Y	Y	Y	
v. Emergency and transitional source of electrical power and emergency switchboards:	Y	Y		Y	Y	Class to conduct plan approval

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	[Class]		MCA		MCA/ [Class]* Test / Survey	
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vi. Starting arrangements for emergency generating sets	Y	Y		Y	Y	
vii. Emergency electrical power services supplies:	Y	Y		Y	Y	Essential Services.
viii. Distribution systems	Y	Y				
ix. Location and construction of electric cables	Y	Y				
x. General precautions against shock, fire and other hazards	Y	Y				
xi. Electrical equipment in hazardous areas and spaces	Y	Y				
xii. Load Schedules (Load schedule for main and emergency switchboards. Details of trip operation and any other safety interlocks fitted)	Y	Y				
xiii. PA and Alarm systems.	Y	Y		Y	Y	
xiv. Steering gear	Y	Y				
xv. General alarm system	Y	Y		Y		
5 BILGE PUMPING ARRANGEMENTS						
i. General	Y	Y				
ii. Number and type and details of bilge pumps and suction pipe diameters	Y	Y	Y		Y	Class approved plans to be forwarded to MCA for review and acceptance. MCA to witness functional tests of Emergency pumping requirements
iii. Bilge valves, cocks, etc.	Y	Y				
iv. Bilge mud boxes and strum boxes	Y	Y				
v. Sounding pipes	Y	Y				
6 ANCHOR HANDLING EQUIPMENT, ANCHORS & CHAIN CABLES	Y	Y				
i. Guard rails, stanchions and bulwarks	Y	Y				
ii. Anchor handling equipment, anchors and chain cables	Y	Y				
iii. Hawsers and warps	Y	Y				

NOT PROTECTIVELY MARKED

DRAWING/PLAN [Vessel Name/Hull No]	APPROVAL AND TESTING ARRANGEMENTS					REMARKS * Class test / survey under MCA Instrument of Appointment unless MCA attendance scheduled within agreed Procedural Agreement visit requirement.
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7 LSA AND NAVIGATION						
i. LSA Plan (GA indicating - muster/assembly station, location of LSA equipment including EPIRB and SARTs, distribution of lifejackets).			Y	Y	Y	
ii. Davit and Winch general arrangements (General arrangement for rescue boat davits. Build test certification for rescue boats).	Y	Y	Y	Y	Y	Class involvement in deck structure and piping and electrical systems. MCA require MED approval certificate and Load test certification from Davit Manufacturer.
iii. Liferaft/MES general arrangements			Y	Y	Y	
iv. Muster List			Y	Y	Y	
v. Navigation lights (GA showing location and arcs of each light. List of lights giving manufacturer and type approval. Functional specification of controls)			Y	Y	Y	
vi. List of all navigation equipment – manufacturer, type and approvals			Y	Y	Y	
vii. List of all LSA equipment - manufacturer, type and approvals			Y	Y	Y	
viii. Means of Escape (GA plan showing primary and secondary escape routes from each compartment)			Y	Y	Y	
ix. Search and Rescue Plan			Y			MCA to approve the SAR Plan
x. Rescue equipment locker			Y	Y	Y	
xi. Decision support system for Master			Y	Y	Y	
xii. Details of Helicopter pick-up area			Y	Y	Y	
8 RADIO						
i. List/plan of all radio equipment - manufacturer, type and approvals	Y	Y				For cargo ships only.
9 PASSENGER AND CREW ACCOMMODATION						
i. General Arrangement of at least 1: 200 (Showing overall arrangement of crew accommodation.)			Y	Y	Y	

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ii. Crew accommodation arrangements of 1:50 (General arrangements of typical officers and crew cabins, recreation rooms, galley, mess rooms)			Y	Y	Y	
iii. FW system schematic drawing (A line schematic drawing showing storage, transfer and sterilisation systems. Calculations for capacity of system. Type approvals for RO plants)			Y	Y	Y	
iv. Outline specification of air conditioning/ventilation system (List of spaces covered by HVAC system giving volume and number of air changes to each space)			Y	Y	Y	
v. Plans as per Directive 98/18/EC for the safety requirement for persons with reduced mobility: vi. Access to the ship, Signs, Means to communicate messages, Alarm and additional requirements ensuring mobility inside the ship.			Y	Y	Y	
vii. Passenger Numbers & counting arrangement			Y	Y		
viii. Low Level Lighting			Y	Y	Y	
ix. Means of Escape – Passenger Accommodation			Y	Y	Y	
x. Stairs/Passageway handrails			Y	Y	Y	Construction/Strength
xi. Escape Analysis			Y	Y		Passenger evacuation
10 STABILITY						
i. Stability Information Booklet	Y	Y	Y	Y	Y	Refer to authorisation of stability table in MSIS 23
ii. Verification of draught marks	Y	Y				To be carried out by Class, copy of markings to MCA.
iii. Inclining Test/ Light weight Check	Y	Y	Y	Y	Y	Refer to authorisation of stability table in MSIS 23
11 STRUCTURAL FIRE PROTECTION						
i. Structural Fire Protection Plan (GA plan of each deck showing - types of A-class and B-class bulkheads and decks, category of each space and main fire zones)			Y	Y	Y	

NOT PROTECTIVELY MARKED

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	[Class]		MCA		MCA/ [Class]* Test / Survey	
	Plan approval	Install. test or survey	Plan approval	Install. test or survey		

ii. Ventilation Plan (Line schematic of system showing - size and insulation of ducts, location of fire dampers, location of remote controls for fans and dampers, means of closure)			Y	Y	Y	
iii. Penetration details (Drawing of typical cable, pipe and ventilation penetrations to be used on A & B-class divisions. Alternatively type approval certificates for proprietary products to be used)			Y	Y	Y	
iv. List of deck coverings - name, type, manufacturer and approval of deck screeds, underlay and carpets.			Y	Y	Y	
v. Fire Door Plan (GA plan or list showing type of fire door for each required location as well as details of hold-backs, hose ports, self-closers. Approval certificates for all A and B-class doors)			Y	Y	Y	
vi. Insulating materials (Approval certificates for fire insulation to be used)			Y	Y	Y	
vii. A and B-class divisions (Approval certificates of panels to be used. Typical details of construction and supports. Details of draught stops)			Y	Y	Y	
12 FIRE EXTINGUISHING						
i. Fixed Fire Extinguishing systems (Type approval certification where applicable. Schematic piping diagram of each system showing control valves and remote means of operation. Type approval certificates for system)			Y	Y	Y	
ii. Portable Fire Extinguishing Equipment			Y	Y	Y	
iii. Fire Detection System Plan (GA based schematic showing the location and type of each detector head)			Y	Y	Y	

NOT PROTECTIVELY MARKED

DRAWING/PLAN [Vessel Name/Hull No]	APPROVAL AND TESTING ARRANGEMENTS					REMARKS * Class test / survey under MCA Instrument of Appointment unless MCA attendance scheduled within agreed Procedural Agreement visit requirement.
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iv. Fire Main Schematic Plan (GA based piping schematic of system showing, pumps, pipe sizes, hydrants and isolating valves. Details of capacity of fire pumps)			Y	Y	Y	
v. Details of arrangements for emergency shutdown of fans, remote stops and quick closing valves. (Positions of remote controls for fans, dampers, fixed extinguishing systems, & equipment stops)			Y	Y	Y	
vi. Dangerous Goods Plan (GA plan indicating location of dangerous goods areas. Written details of DG groups to be carried and the equipment carried in compliance with SOLAS)			Y	Y	Y	Document of Compliance to be issued by MCA.
vii. Automatic sprinkler, fire detection and fire alarm system			Y	Y	Y	
viii. Details of fixed fire extinguishing system for special category space (Car Deck)			Y	Y	Y	
13 MARPOL						
i. OW System (Approval certification of equipment. Piping schematic of OW system and discharge arrangements, capacity plan also required)	Y	Y	Y	Y	Y	If approved by Class MCA to review for IOPP compliance. Class to forward a copy of the approved plan to MCA. Class may be authorised on a case-by-case basis – see Class agreements.
ii. SOPEP/SMPEP Manual.			Y			
iii. Sewage System Schematic Plan (General schematic of system and calculation of the required capacity of sewage plants. Approval certificates for sewage plants)	Y	Y			Y	Delegated to Class, MCA to monitor certification.
iv. Garbage Arrangements (General outline of arrangements)					Y	No certification required.
v. ANNEX VI Prevention of Air Pollution from ships vi. And IAPP certification	Y	Y			Y	Delegated to Class. MCA to monitor certification.
vii. Noxious Liquid Substances systems/Arrangement.			Y			If applicable

NOT PROTECTIVELY MARKED

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	[Class]		MCA			MCA/ [Class]* Test / Survey
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viii. P & A Manual			Y			
14 CARRIAGE OF CARGOES						
i. Cargo Securing Manual			Y			If applicable

Additional remarks:

- 1) Some plans require approval by both MCA and Class Eg. Bilge Pumping Arrangements, Emergency lighting etc. For MCA approval in these circumstances, class approved plans along with respective plan approval letters are to be included in the submission to MCA
- 2) Plans submitted for MCA approval (or covering letters) should list the relevant National/International/EU legislation as applied by the yard for preparing these plans.
- 3) When modified plans are submitted for re-approval, the current modifications are to be clearly highlighted.

Endorsed by:

[Lead surveyor], [Marine Office]. Maritime and Coastguard Agency

[Date]

Signature

[Class surveyor], [Office], [Class society]

[Date]

Signature

NOT PROTECTIVELY MARKED

Annex 8 – Class Surveyor Acknowledgement template

Acknowledgement Letter

[Address of Class local office]

Name of Ship/Yard No: xxxxxxxx

[Name of Class surveyor] of [Class Society], [office] Office hereby acknowledges the assigned Instrument of Appointment and agrees to monitor the construction of xxxxxxxx at [yard name], in accordance with the Maritime & Coastguard Agency Instrument of Appointment and responsibility fax dated [date] and will complete the appropriate Survey Declaration, upon completion of build.

Signed

Dated

Annex 9 - Plan approval tracking spreadsheet

Total Numbers – rec'd to replied					0		0	Charter Std. met?
Date fees paid								
Title	File number	Plan number	Revision / Issue	Date received	Date comments due	Date comments sent	Notes	Y/N

Annex 10 - Specimen approval aide memoire

Approval of Sprinkler Systems Equivalent to that referred to in SOLAS Reg II-2/12

(Service spaces, Control Stations and Accommodation spaces including corridors and stairways)

No	Description	Y/N/NA	Reference
1	Automatic system with no human action necessary	<input type="checkbox"/>	Res. A.800(19) / 3.1
2	System capable of detecting and extinguishing fire with water based medium	<input type="checkbox"/>	Res. A.800(19) / 3.2
3	Continuous supply of water based medium for min 30 min.	<input type="checkbox"/>	Res. A.800(19) / 3.3
4	Sprinkler placed and spaced to maintain a application rate of not less than 5 l/sqm/min over nominal area covered by sprinklers	<input type="checkbox"/>	Res. A.800(19) / 3.3 SOLAS Reg II-2/12.3
5	Pump and piping system provided to ensure continuous output for the simultaneous coverage of min area of 280 sqm at application rate mentioned in 4 above	<input type="checkbox"/>	Res. A.800(19) / 3.3 Solas Reg II-2/12.5.2 Res. A.800(19) / 3.22 Unified interpretation (FP/47/16 – Annex 9)
6	Standing water charge equivalent to the amount of water which would be discharged in one minute by the above pump provided?	<input type="checkbox"/>	Res. A.800(19) / 3.3 Solas Reg II-2/12.4.1
7	Pressure tank provided having minimum volume of water charge mentioned in 6 above	<input type="checkbox"/>	Res. A.800(19) / 3.3 Solas Reg II-2/12.4.1
8	System capable of maintaining an air pressure in the tank (not less than working pressure + Head of water in highest sprinkler)	<input type="checkbox"/>	Res. A.800(19) / 3.3 Solas Reg II-2/12.4.1
9	Means for replenishing fresh water and Air under pressure. Suitable gauge provided to indicate correct water level	<input type="checkbox"/> <input type="checkbox"/>	Res. A.800(19) / 3.3 Solas Reg II-2/12.4.1
10	System of wet pipe type (small exposed sections of dry pipe, preaction, deluge, antifreeze type permitted)	<input type="checkbox"/>	Res. A.800(19) / 3.4
11	Capable of Fire control or suppression under wide variety of fire loading, fuel arrangement, room geometry and ventilation.	<input type="checkbox"/>	Res. A.800(19) / 3.5
12	System capable of withstanding ambient temperature changes, vibration, humidity, shock, impact, clogging and corrosion normally encountered	<input type="checkbox"/>	Res. A.800(19) / 3.6
13	System designed and installed with EU standards	<input type="checkbox"/>	Res. A.800(19) / 3.7
14	System provided with both main and emergency source of power	<input type="checkbox"/>	Res. A.800(19) / 3.8
15	System provided with redundant means of pumping	<input type="checkbox"/>	Res. A.800(19) / 3.9
16	System fitted with permanent sea inlet and capable of continuous operation with seawater	<input type="checkbox"/>	Res. A.800(19) / 3.10
17	Piping system sized as per hydraulic calculation technique	<input type="checkbox"/>	Res. A.800(19) / 3.11
19	Sprinklers grouped in separate sections and each section not serving more than two decks of one main vertical zone.	<input type="checkbox"/>	Res. A.800(19) / 3.12
20	Each section capable of isolation using only one valve which is readily accessible, clearly and permanently marked	<input type="checkbox"/>	Res. A.800(19) / 3.13

21	Sprinkler piping not used for any other purpose	<input type="checkbox"/>	Res. A.800(19) / 3.14
22	System supply component outside category A machinery space	<input type="checkbox"/>	Res. A.800(19) / 3.15
23	Means for testing the automatic operation provided	<input type="checkbox"/>	Res. A.800(19) / 3.16
24	Each sprinkler section provided with visual and audible alarm at a continuously manned central control station within one minute of flow from one or more sprinklers, a check valve, a pressure gauge and a means of drainage.	<input type="checkbox"/>	Res. A.800(19) / 3.17
25	Sprinkler control plan provided at centrally manned control station	<input type="checkbox"/>	Res. A.800(19) / 3.18
26	<ul style="list-style-type: none"> a. Installation plan and operating manuals provided to ship and readily available b. List or plan displayed showing spaces covered and location of zones in respect of each section c. Instructions for testing and maintenance provided 	<input type="checkbox"/> <input type="checkbox"/>	Res. A.800(19) / 3.19
27	Evidence that sprinklers have fast response characteristics as defined in ISO standards 6182-1	<input type="checkbox"/>	Res. A.800(19) / 3.20
28	Nominal temp rating of 57 deg C to 79 deg C (except in drying rooms etc where temp may be increased by not more than 30 deg C above max deck head temp.)		Res. A.800(19) / 3.21

Annex 11 - Specimen plan approval letter

[Marine Office address]

[Customer address]

TEL: []

DDI: []

FAX: []

[e-mail]

Date []

Your ref. []

Our ref.CM []

[Hull number]

Plans as listed in Appendix A, received in this office on [], have been examined for compliance with:

[example: Merchant Shipping (Crew Accommodation) Regulations 1997]

and will be approved, as indicated, subject to the following comments:

1. Statutory requirements:

i) [comments on compliance][*example: A separate room containing water closet and wash basin within or near the engine room control compartment shall be provided in accordance with Regulation 26(24)(b). This may be accommodated in Engineer's change room or Workshop.*]

2. General comments:

[]

3. Attachments

[Example: Three copies of the plan, duly annotated as indicated in Appendix A, are enclosed]

[signed]

Marine Surveyor

Appendix A

<u>Drawing No.</u>	<u>Rev.</u>	<u>Title</u>	<u>Appraisal status</u>
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Example:

F-1-605		Joiner Plan	AC
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Approval status ref.

A Drawing approved subject to onboard arrangements and matters of detail being examined and tested to the satisfaction of attending MCA Surveyor/MCA appointed Surveyor

AC Drawing conditionally approved subject to comments listed under para.1 above

R Drawing to be resubmitted after required amendment

N Noted as supporting documentation and for information only

Annex 12 - Standard MCA approval stamp format

MCA Logo	MO Name
Information Approved in accordance with	
Subject to comments in MCA approval letter dated:	
Signed:	
Name:	
Date:	

Annex 13 – Specimen MED Acceptance Certificate

Bay 2/17
Spring Place
105 Commercial Road
SOUTHAMPTON
SO15 1EG

TEL: 023 80329100
DDI: 023 80329186
GTN: 1513 186
Fax: 023 80329204

To the Master
[add ship name]

Our Ref: MS 107/08/031

[Date]

***A copy of this certificate to be placed on file with the Safety Equipment / Passenger Safety Certificate**

Dear Sir

TYPE APPROVAL OF MARINE SAFETY AND POLLUTION PREVENTION EQUIPMENT [2] FOUND TO BE] FITTED TO [insert ship's name] [1] AT TRANSFER OF FLAG SURVEY 2] DUE TO LACK OF AVAILABILITY OF MED APPROVED EQUIPMENT]

The marine safety and pollution prevention equipment fitted on this vessel is required to be type-examined and approved in accordance with the requirements of the Council Directive 96/98/EC of 20 December 1996 on marine equipment, (MED), as amended. Where the equipment was found not to comply with Article 5 of the MED [1 at the survey during transfer to UK flag / 2 due to lack of available MED approved equipment] – the conditions required under Article [18 / 216] have been accepted by the Government of the United Kingdom, as the Flag Administration.

The equipment listed in the Annex to this certificate has been accepted on board this vessel and [1 has been / 2 as soon as practicable will be] inspected in accordance with Article 18.3 / 216.3 of the MED as complying with the relevant requirements of the international instruments and the Directive.

This certificate is provided by the United Kingdom's Maritime and Coastguard Agency and is to be shown to surveyors and inspecting officers as might need to see it.

Yours faithfully,

A.N Other
Surveyor
Maritime and Coastguard Agency
Maritime Administration for the
Government of the United Kingdom of Great Britain and Northern Ireland

Attachment: "Annex – List of Equipment Accepted under Article 16 of Council Directive 96/98/EC as amended"
delete 1 or 2 as appropriate