

EXPERT GROUP ON DATA
HARMONIZATION
2nd session
Agenda item 4

EGDH 2/4/1
18 September 2020
ENGLISH ONLY

Pre-session public release:

**IMO DATA SET RELATED TO "INFORMATION OF SHIP CERTIFICATES
(ACCORDING TO FAL.2/CIRC.131)"**

**Code list and new data elements to the IMO reference model needed
for ship certificates**

Submitted by ISO

SUMMARY

Executive summary: This document gives an overview of necessary data elements, data model extensions and code lists to cover ship certificate information according to FAL.2/Circ.131.

Strategic direction, if applicable: 5

Output: 5.8.

Action to be taken: Paragraph 4

Related documents: FAL 43/7, FAL 43/8, FAL 43/20, FAL 44/7, EGDH 1/13, FAL.2/Circ.131, FAL.2/Circ.131/Corr.1

1 FAL 43 approved the revision of the IMO Compendium (FAL 43/7) and also decided to continue the maintenance and extension of the data set and data model.

2 Data elements and data model to cover information needed for ship certificates were added to the list of extensions to the IMO Compendium.

3 The annex to this document gives an overview of necessary data elements, data model extensions and code list to cover ship certificate information according to FAL.2/Circ.131. Also, some additional certificates are covered. However, certificates relevant for the company are not listed, only those that are related to the ship (on board the ship). Also, it only covers certificates, not management plans, record books and other documents needed on board.

Action requested of the Expert Group on Data Harmonization

4 The Expert Group on Data Harmonization is invited to consider the annex to this document and take action as appropriate.

ANNEX

Data Elements, Data Model and Code List for Ship Certificates

Section 1. Summary

1 This annex defines the data elements needed to describe the meta data for ship certificates. It also proposes a generic class to cover other documents than certificates, but that still are compulsory to be kept onboard.

Section 2. Data elements

Change Ind.	Data Number	Data Element	Definition	Format	Code lists	BIMCO
+	IMOxxxx	DocumentId (specific: CertificateId)	The unique alphanumeric identifier assigned to the Certificate, for instance to the Certificate of Registry, by the issuing nation for tracking purposes	an..35		Certificate ID
+	IMOxxxx	Name	The name of the certificate as it is normally written in English.	an..70		Certificate name
+	IMOxxxx	IssueDate	The issue date of the certificate.	an..35		Date of issue
+	IMOxxxx	ExpiryDate	The expiry date of the certificate.	an..35		Date of expiry
+	IMOxxxx	ExtendedUntilDate	The date until which the validity of the certificate has been extended to.	an..35		
+	IMOxxxx	LastEndorsementDate	The date when the certificate was last endorsed.	an..35		
+	IMOxxxx	Comment	Free text field to give additional information to the certificate	an..256		General information
+	IMOxxxx	Certificate Issuer, name	The name of the body/organization that issued the certificate.	an..70		Issuing Recognized organization
+	IMOxxxx	Certificate Issuer, coded	The code representing the body/organization that issued the certificate.	n3	See some codes in Error! Reference source not found.	
*	IMOxxxx	Issuing Flag state, coded	A code representing the flag state issuing the certificate. <i>(Make IMO0070 a general term)</i>	a2	ISO 3166-1 alpha-2 code	Name of the issuing authority
+	IMOxxxx	Certificate issuer type, coded	A code representing the type of organization that has issued the certificate. <i>Business Rule 1:</i> If the Certificate issuer type, coded equals "Other", the name of the certificate issuer is given (<i>Certificate Issuer, name</i>).	n2	See Error! Reference source not found.	Issuing authority

Change Ind.	Data Number	Data Element	Definition	Format	Code lists	BIMCO
			<p><i>Business Rule 2:</i> If the certificate issuer is a class society, a RO or RSO (Certificate issuer type, coded = class, RO, RSO), the <i>Certificate Issuer, coded</i> is given.</p> <p><i>Business Rule 3:</i> If the certificate issuer is a flag state (Certificate issuer type, coded = flag), the <i>Issuing Flag state, coded</i> is given</p>			
+	IMOxxxx	Certificate status, coded	A code representing the current status of the certificate.	n2	See Error! Reference source not found.	Certificate status
+	IMOxxx	Certificate status start date	The date when the certificate got this status (<i>this can be used to keep track of the history of the certificate status</i>)	an..35		
+	IMOxxx	Certificate status end date	The date when the actual certificate status ends. (<i>this can be used to keep track of the history of the certificate status</i>)	an..35		
+	IMOxxxx	Certificate type, coded	A code representing the type of certificate.	n3	See 0.	Certificate code
+	IMOxxxx	Certificate category, coded	<p>A code representing any restriction on the certificate dependent of the issuer (flag or organization), the regulation/convention, the ship type and/or the certificate type:</p> <p>IC: Used when:</p> <ol style="list-style-type: none"> the regulation is an international convention or mandatory referenced code, and the regulation has entered into force, and the regulation is ratified by the Administration, and the regulation applies to the vessel/company, and the Administration has authorised the issuing organization to issue the certificate. <p>C: Used when:</p> <ol style="list-style-type: none"> the Administration has authorized the issuing organization to issue the certificate, and 	n2		Certificate category

Change Ind.	Data Number	Data Element	Definition	Format	Code lists	BIMCO
			b) not all conditions a - d for IC are met. SoC: Used when: a) the flag state has not authorised the issuing organization to issue the certificate			
+	IMOxxxx	Restriction, text (Description)	A textual description of the conditions that the certificate is issued with, that is, if there are any restrictions on the validity of the certificate.	an..256		Certificate remarks
+	IMOxxxx	Restriction, coded	A code representing the conditions that the certificate is issued with, that is, if there are any restrictions on the validity of the certificate. (Full term of use, interim/unconditional issue, short term, conditional/exemptions)	a1		Certificate validity type
+	IMOxxx	Restriction, start date	Start date of the restriction in the validity of a certificate	an..35		
+	IMOxxx	Restriction, end date	End date of the restriction in the validity of a certificate	an..35		
+	IMOxxx	Restriction conditions, text	Description of the conditions in the certificate validity	an..256		
-	IMO014 5	Ship registry issue date	The date of issue shown on the Certificate of Registry.	an..35		
-	IMO014 6	Ship registry number	The unique alphanumeric identifier assigned to the Certificate of Registry by the issuing nation for tracking purposes.	an..35		
-			All elements related to ISSC, except "Reason why ship has no valid ISSC or interim ISSC"			

Section 3. Data Modelling

2 This section summarizes some considerations that should be take regarding the date model:

- .1 Some of the documents that are listed in FAL.2/Circ. 131 as compulsory to be carried on board ships, are not certificates. A general document type (class) covering all possible documents required to be carried on board should be added. A general document class will have data elements as DocumentId, Name, Comment and DocumentType (certificate, plan, procedure, record book, etc.), see Figure 1.
- .2 The certificate class (Certificate) is a specialization of the document class, inheriting the data elements from the document class (Document).

- .3 More than one restriction to the certificate validity can be added, see class CertificateRestriction in Figure 1.
- .4 Each restriction (Full term of use, Interim, Short Term, Conditional) can have a start and end date.
- .5 Each restriction has a text with further description of the restriction.
- .6 If the restriction is conditional, a text describing the actual condition(s) is given.
- .7 The certificate category described by BIMCO in input paper EGDH 2/4 seems to be a property of the combination of the ship/company, the regulation/convention, the issuer and the type of certificate. For instance, it describes possible restrictions on the certificate based on whether the regulation defining the certificate type has been ratified by the flag state or not. Also, it states that the certificate type is applicable to the specific ship types. To simplify the modelling, we propose to add the certificate category to a certificate type class, also containing the certificate code, see classes Certificate in Figure 1 containing the data elements Certificate code (see **Error! Reference source not found.**) and Certificate category.

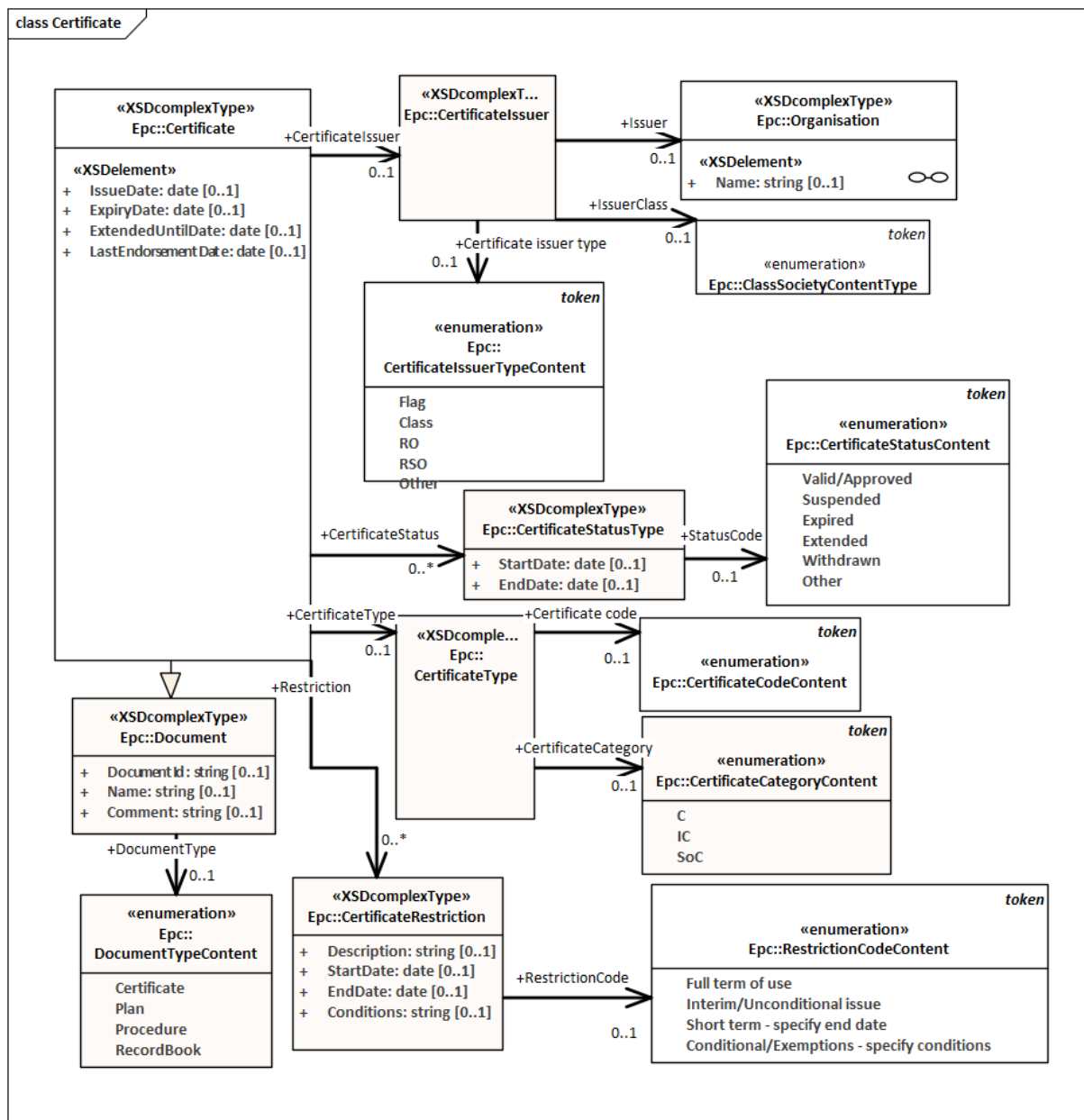


Figure 1 Certificate Data Model

Section 4. Code list for Certificate Codes

3 Table 1 specifies code values that are used to identify a specific certificate type. The list is based on FAL.2/Circ.131. The **Group** and **Number** column give a reference to the numbered group and the listed order within that group of where the certificate was mentioned. Some certificates that are commonly requested and which are not listed in FAL.2/Circ. 131 have been given the group number zero. Note that not all list order numbers are used as the referenced document also includes other documents that are required to be carried on the ship which are not certificates. The code OTHER can be used for certificates not listed in this table. Refer to FAL.2/Circ.131 for the use of these certificates and accurate references to where they are mandated.

The column BIMCO shows the codes defined by BIMCO in input document EGDH 2/4.

Certificates in **bold** is found in FAL.2/Circ.131, but not listed in input document EGDH 2/4.

Table 1 Certificate code values with reference to FAL.2/Circ. 131

Group	Number	TITLE/DESCRIPTION	Regulation	BIMCO
3	4	Cargo Ship Safety Certificate	SOLAS PROT 1988, regulation I/12	CSS
3	1	Cargo Ship Safety Construction Certificate	SOLAS 1974, regulation I/12; SOLAS PROT 1988, regulation I/12	SG
3	2	Cargo Ship Safety Equipment Certificate	SOLAS 1974, regulation I/12; SOLAS PROT 1988, regulation I/12	SE
3	3	Cargo Ship Safety Radio Certificate	SOLAS 1974, regulation I/12, as amended by the GMDSS amendments; SOLAS PROT 1988, regulation I/12	SR
13	3	Certificate of Fitness for Offshore Support Vessels		
5	1	Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk	BCH Code, section 1.6	IBC
6	1	Certificate of Fitness for the Carriage of Liquefied Gases in Bulk	GC Code, section 1.6	IGC
1	63	Certificate of insurance or other financial security in respect of civil liability for bunker oil pollution damage		
3	21	Certificate of insurance or other financial security in respect of civil liability for oil pollution damage		
2	7	Certificate of insurance or other financial security in respect of liability for the death of and personal injury to passengers		
1	64	Certificate of insurance or other financial security in respect of liability for the removal of wrecks		
0	11	Certificate of insurance P&I		
0	2	Certificate of Registry		
3	11	Condition Assessment Scheme (CAS) Statement of Compliance		

Group	Number	TITLE/DESCRIPTION	Regulation	BIMCO
13	4	Diving System Safety Certificate		
3	8	Document of authorization for the carriage of grain and grain loading manual		
1	34	Document of Compliance (ISM)		
8	1	Document of compliance with the special requirements for ships carrying dangerous goods (in Packaged or Dry Bulk Form)		
13	6	Dynamically Supported Craft Construction and Equipment Certificate	DSC Code (resolution A.373(X), as amended) section 1.6	DSC
0	4	Engine Class Certificate		
3	9	Enhanced survey report file		
0	6	Gas Free Certificate		
7	1	High-Speed Craft Safety Certificate	SOLAS 1974, regulation X/3; 1994 HSC Code, section 1.8; 2000 HSC Code, section 1.8	HSC
0	3	Hull Class Certificate		
0	9	ILO Convention C. 133 Document of Compliance	ILO Convention C. 133	ILO133*
0	8	ILO Convention C. 92 Document of Compliance	ILO Convention C. 92	ILO92*
1	45	International Air Pollution Prevention Certificate	MARPOL Annex VI, regulation 6	APP
1	58	International Anti-fouling System Certificate	AFS 2001, regulation 2(1) of annex 4	AFS
1	60	International Ballast Water Management Certificate	BWM 2004, regulation E-2	BWM
5	2	International Certificate of Fitness for the Carriage of Dangerous Chemicals in Bulk		
10	1	International Certificate of Fitness for the Carriage of INF Cargo	SOLAS 1974, regulation VII/16; INF Code (resolution MSC.88(71), as amended), paragraph 1.3	
6	2	International Certificate of Fitness for the Carriage of Liquefied Gases in Bulk		INF
1	46	International Energy Efficiency Certificate	MARPOL Annex VI, regulation 6	EE
1	2	International Load Line Certificate or Exception	LL 1966, article 16; LL PROT 1988, article 16	LL

Group	Number	TITLE/DESCRIPTION	Regulation	BIMCO
1	38	International Oil Pollution Prevention Certificate	MARPOL Annex I, regulation 7	OPP
4	1	International Pollution Prevention Certificate for the Carriage of Noxious Liquid Substances in Bulk (NLS Certificate)	MARPOL Annex II, regulation 9	NLS
1	41	International Sewage Pollution Prevention Certificate	MARPOL Annex IV, regulation 5; MEPC/Circ.408	SPP
1	37	International Ship Security Certificate (ISSC) or Interim International Ship Security Certificate	SOLAS 1974, regulation XI-2/9.1.1; ISPS Code, part A, section 19 and appendices.	ISPS
1	1	International Tonnage Certificate	Tonnage 1969, article 7	TM
0	10	ITF Blue Card (for flags of convenience)		
0	5	Maritime Declaration of Health (if not electronic)		
1	23	Minimum safe manning document		
13	7	Mobile Offshore Drilling Unit Safety Certificate	1979 MODU Code (resolution A.414(XI), as amended) section 1.6; 1989 MODU Code (resolution A.649(16), as amended) section 1.6; 2009 MODU Code (resolution A.1023(26), as amended), section 1.6	MODU
11	2	Nuclear Cargo Ship Safety Certificate		
11	2	Nuclear Passenger Ship Safety Certificate		
13	2	Offshore Supply Vessel Document of Compliance		
2	1	Passenger Ship Safety Certificate	SOLAS 1974, regulation I/12; SOLAS PROT 1988, regulation I/12	PSS
7	2	Permit to Operate High-Speed Craft		
13	9	Permit to Operate WIG Craft		
12	1	Polar Ship Certificate	Polar Code, part I-A Section 1.3	POLAR
13	5	Safety Compliance Certificate for Passenger Submersible Craft		
1	33	Safety Management Certificate	SOLAS 1974, regulation IX/4;	SMC

Group	Number	TITLE/DESCRIPTION	Regulation	BIMCO
			ISM Code, paragraph 13	
0	7	Ship Sanitation Control Certificate (WHO)		
13	1	Special Purpose Ship Safety Certificate	1983 SPS Code (resolution A.534(13), as amended); 2008 SPS Code (resolution MSC.266(84), as amended), SOLAS 1974, regulation I/12; SOLAS PROT 1988, regulation I/12	SPS
2	5	Special Trade Passenger Ship Safety Certificate		
2	6	Special Trade Passenger Ship Space Certificate		
0	12	Universal Postal Convention for mail required document		
1	24	Voyage data recorder system – certificate of compliance		
13	8	Wing-in-ground Craft Safety Certificate		
0	1	Other certificate or document not mentioned in this list		OTHER

Section 5. Certificate Issuer Type Code List

4 Table 2 contains the possible issuer types describing a party that issues ship certificates.

Table 2 Certificate issuer type codes

Code	Description
01	Flag
02	Class
03	Recognized Organization
04	Recognized Security Organization
05	Notified Body
06	Insurance company
99	Other

Section 6. Certificate Status Code List

5 Table 3 contains the possible certificate statuses with the code values to be used for ship certificates.

Table 3 Certificate status codes

Code	Description
01	Valid/Approved

Code	Description
02	Suspended
03	Withdrawn
04	Expired
99	Other

Section 7. Certificate Status Code List

6

Table 4 contains the possible certificate statuses with the code values to be used for ship certificates.

Table 4 Certificate validity codes

Code	Description
F	Full term of use
I	Interim/unconditional issue
S	Short term, specify end date
C	Conditional, please specify conditions
O	Other

Section 8. Class Society Codes

Recognized Organization	RO code
American Bureau of Shipping (IACS)	ABS
Biro Klasifikasi Indonesia	BKI
Bulgarian Koraben Registar	BR
Bulgarian Register of Shipping	BRS
Bureau Veritas (IACS)	BV
China Classification Society	CC
China Classification Society (IACS)	CCS
Columbus American Register	CAR
Cosmos Marine Bureau Inc	CMB
China Register	CR
Croatian Register of Shipping (IACS)	CRS
Croatian Register of Shipping	CS
DNV GL AS (IACS)	DNVGL
Dromon Bureau of Shipping	DR
Deutsche Schiffs-Revision	DS
Germanische Lloyd	GL

Recognized Organization	RO code
Global Marine Bureau Inc.	GMB
Hellenic Register	HR
Indian Register of Shipping	IR
Indian Register of Shipping (IACS)	IRS
Intermaritime Certification Services, S.A.	ICS
International Naval Surveys Bureau	INSB
International Register of Shipping (IS)	IS
International Ship Classification	ISC
Isthmus Bureau of Shipping	IB
Jugoslavenski Register Brodova	JR
Korea Classification Society	KCS
Biro Klasifikasi Indonesia	KI
Korean Register of Shipping	KR
Korean Register of Shipping (IACS)	KRS
Lloyd's Register	LR
Lloyd's Register (IACS)	LRS
Macosnar Corp	MC
Maritime Bureau of Shipping	MB
Maritime Lloyd Georgia	MG
Mediterranean Shipping Register	MSR
National Shipping Adjusters Inc.	NSA
Nippon Kaiji Kyokai	NK
Nippon Kaiji Kyokai (IACS)	NKK
Det Norske Veritas	NV
Overseas Marine Certification Services	OMCS
Panama Maritime Documentation Services (PMDS)	PMDS
Polski Rejestr Statkow	PR
Panama Register Corp.	PRC
Panama Shipping Registrar Inc	PSR
Phoenix Register of Shipping	PRoS
Polish Register of Shipping (IACS)	PRS
Registro Cubana de Buques	RC
Register of Shipping (Albania)	RSA
Registro Italiano Navale	RI
Registro Italiano Navale (IACS)	RINA
Russian Maritime Register of Shipping (IACS)	RMRS
Registrul Naval Roman	RN
Rinave Portuguesa	RP

Recognized Organization	RO code
Russian River Register	RR
Russian Maritime Register	RS
Ship Classification Society of Malaysia	SCSM
Shipping Register of Ukraine (SRU)	SRU
Sing Lloyd	SL
SingClass International	SCI
Turk Lloydu	TL
Turk Loydu	TLV
Union Bureau of Shipping	UBS
Universal Maritime Bureau	UMB
Venus Register	VE
Venezuelan Register of Shipping	VRS
Vietnam Register of Shipping	VR
China Classification Society	ZC
Other	OT
