



GUIDANCE NOTES
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CHINA CLASSIFICATION SOCIETY

GUIDELINES ON SURVEY AND CERTIFICATION FOR BALLAST WATER MANAGEMENT OF SHIPS

2017

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CHAPTER 1 GENERAL

1.1 Objective and basis

1.1.1 The Guidelines are intended to provide guidance to implement the requirements of survey and certification in Section E of the International Convention for the Control and Management of Ship's Ballast Water and Sediments, 2004 (hereinafter referred to as the BWM Convention) developed by the International Maritime Organization (IMO) so as to ensure that ships and their ballast water management measures are in compliance with the applicable requirements.

1.1.2 The Guidelines are developed mainly on the basis of the following IMO documents:

(1) International Convention for the Control and Management of Ship's Ballast Water and Sediments, 2004;

(2) Guidelines for Approval of Ballast Water Management Systems (G8) (MEPC.279(70)), as amended;

(3) Guidelines for Ballast Water Sampling (G2) (MEPC.173(58));

(4) Interim Survey Guidelines for the Purpose of the International Convention for the Control and Management of Ships' Ballast Water and Sediments under the Harmonized System of Survey and Certification (BWM.2/Circ.7);

(5) Applicability of Ballast Water Management Convention to the Water in the Hopper Area of Hopper Dredgers (BWM.2/Circ.32);

(6) Issuance of Ballast Water Management Certificates Prior to Entry Into Force of the BWM Convention and Ballast Water Management Plans Approved According to Resolution A.868(20) (BWM.2/Circ.40);

(7) Guidance on Ballast Water Sampling and Analysis for Trial Use in accordance with the BWM Convention and Guidelines (G2) (BWM.2/Circ.42/Rev.1);

(8) Clarification of "major conversion" as Defined in Regulation A-1.5 of the BWM Convention (BWM.2/Circ.45);

(9) Application of the BWM Convention to Mobile Offshore Units (MOUs) (BWM.2/Circ.46).

1.1.3 The Guidelines do not include the special requirements of ballast water management of the flag State Administrations and port state authorities. Special provisions of the flag State Administrations and port state authorities are to be complied, if any.

1.2 Application

1.2.1 The Guidelines apply to surveys for all ships engaged on international voyages intending to load and discharge ballast water subject to BWM Convention applying for issuance and/or endorsement of the International Ballast Water Management Certificate (IBWMC) or the International Ballast Water Management Statement of Compliance.

1.2.2 For survey and certification specified in Regulation E-1 and E-2 of the BWM Convention, it is specified in the Regulation E-1.1 that ships of 400 gross tonnage and above to which this Convention applies, excluding floating platforms, FSUs and FPSOs, are to be subject to surveys, however, the MOUs applying to the BWM Convention are also to comply with the relevant requirements in accordance with the explanation on Application of the BWM Convention to Mobile Offshore Units (MOUs) (BWM.2/Circ.46), and carry out survey and issuance of the the International Ballast Water Management Certificate (IBWMC) or the International Ballast Water Management Statement of Compliance in accordance with the requirements of Regulation E-1 and E-2 in the BWM Convention

1.2.3 The BWM Convention is not to apply to:

- (1) ships not designed or constructed to carry ballast water;
- (2) ships of a Party which only operate in waters under the jurisdiction of that Party;
- (3) ships of a Party which only operate in waters under the jurisdiction of another Party, subject to the authorization of the latter Party for such exclusion;
- (4) ships which only operate in waters under the jurisdiction of one Party and on the high seas;
- (5) any warship, naval auxiliary or other ship owned or operated by a State and used, for the time being, only on government non-commercial service.

1.2.4 The BWM Conventions is also not to apply to:

- (1) Permanent ballast water in sealed tanks on ships, that is not subject to discharge;
- (2) The water in the hopper area of hopper dredgers not used for the purpose of controlling ship's trim, list, stability and stresses, and also not regarded as the water carried on board, so such water are not considered as ballast water. The relevant requirements in the BWM Convention are not applicable to the water in the hopper area of hopper dredgers (refer to BWM.2/Circ.32).
- (3) For discharge of ballast water carried in cargo oil tanks of oil tankers under Regulation 18.3.2 of MARPOL Annex I may be regarded as an exceptional discharge, which is not subject to the BWM Convention.

1.3 Definitions

1.3.1 For the purposes of the Guidelines, the following definitions apply, in addition to those specified in the BWM Convention and other relevant guidelines:

- (1) *The Convention* means the International Convention for the Control and Management of Ships' Ballast Water and Sediments, 2004.
- (2) *Ballast water management system (BWMS)* means any system which processes ballast water such that it meets or exceeds the ballast water performance standard in Regulation D-2. The BWMS includes ballast water treatment equipment, all associated control equipment, piping arrangements as specified by the manufacturer, control and monitoring equipment and sampling facilities. BWMS does not include the ship's ballast water fittings, which may include piping, valves, pumps, etc., that would be required if the BWMS was not fitted.

(3) *Ballast Water Management Plan (BWMP)* means a document referred to in Regulation B-1 of the Convention describing the ballast water management process and procedures implemented on board individual ships.

(4) *Ballast Water* means water with its suspended matter taken on board a ship to control trim, list, draught, stability or stresses of the ship.

(5) *Sediments* mean matter settled out of Ballast Water within a ship.

(6) *Ballast Water Management* means mechanical, physical, chemical, and biological processes, either singularly or in combination, to remove, render harmless, or avoid the uptake or discharge of harmful aquatic organisms and pathogens within ballast water and sediments.

(7) *Ship* means a vessel of any type whatsoever operating in the aquatic environment and includes submersibles, floating craft, floating platforms, FSUs and FPSOs.

(8) *Major conversion* means a conversion of a ship:

- .1 which changes its ballast water carrying capacity (means the capacity of ballast water tanks) by 15 percent or greater; or
- .2 which changes the ship type, means substantial change of ship's dimensions or carrying capacity; or change of cargo type carried through a major alteration of the ship; or
- .3 which, in the opinion of the Administration, is projected to prolong its life by ten years or more; or
- .4 which results in modifications to its ballast water system other than component replacement-in-kind. Conversion of a ship to meet the provisions of Regulation D-1 is not to be deemed to constitute a major conversion.
- .5 new installation of BWMS in order to meet the provisions of Regulation D-2 is not to be treated as a major conversion.

(9) *Constructed in respect of a ship* means a stage of construction where:

- .1 the keel is laid; or
- .2 construction identifiable with the specific ship begins; or
- .3 assembly of the ship has commenced comprising at least 50 tonnes or 1 percent of the estimated mass of all structural material, whichever is less; or
- .4 the ship undergoes a major conversion.

(10) *Ballast water capacity* means the total volumetric capacity of any tanks, spaces or compartments on a ship used for carrying, uptaking or discharging Ballast Water, including any multi-use tank, space or compartment designed to allow carriage of Ballast Water.

1.4 Requirements of ballast water management plan and ballast water record book

1.4.1 Each ship to which the BWM Convention applies is to have on board and implement a Ballast Water Management Plan (BWMP) approved by the Administration according to Regulation B-1 of the BWM Convention since the date of entry into force of the Convention (i.e. 8 September 2017). The plan is to be prepared on the basis of the Guidelines for Ballast Water Management developed by IMO (MEPC.127(53)).

1.4.2 The BWMP approved in accordance with the IMO Resolution A.868(20) can remain valid after 8 September 2017 until the BWMP requires revision and reapproval due to the installation of a BWMS on board. The revision and reapproval of a BWMP is to be carried out in accordance with the requirements of MEPC.127(53).

1.4.3 Each ship to which the BWM Convention applies is to have on board a ballast water record book (BWR) in the form of Appendix II of the BWM Convention according to the provisions of Regulation B-2 of the BWM Convention since the date of entry into force of the Convention (i.e. 8 September 2017). The ballast water record book may be an electronic record system or may be integrated into another record book or system.

1.4.4 Notwithstanding the provisions in 1.4.1 and 1.4.2, ship which has obtained an International Ballast Water Management Certificate issued by the Administration of a Party or an International Ballast Water Management Statement of Compliance issued by the Administration of a non-Party before 8 September 2017, if the shipping company has received a statement issued by the Administration to confirm the acknowledge of the BWMP, the ship with the unapproved BWMP is allowed to operate for three months.

1.4.5 The BWMP and ballast water record book specified in 1.4.1 and 1.4.3 are still to be available and maintained on board a ship which the BWM Convention is applied to, but is exempted by the Administration according to the provisions of Regulation A-4 in the BWM Convention.

1.5 General requirements of ballast water management for ships

1.5.1 Two ballast water management measures are specified in Regulation B-3 and Regulation B-4 of the BWM Convention:

- (1) Ballast water exchange: to be in compliance with the standard in Regulation D-1;
- (2) Ballast water treatment: to be in compliance with the standard in Regulation D-2.

1.5.2 These two management measures are to be so taken to comply with the final decision for implementation schedule of the standard in Regulation D-2 (Amendments to Regulation B-3 of BWM Convention), at least comply to the standard in Regulation D-1 before the standard in Regulation D-2 is enforced. The shipowner can voluntarily apply for implementation of the standard in Regulation D-2 in advance.

1.5.3 In order to be in compliance with the standard in Regulation D-2, the BWMS installed on board ships is to meet the following requirements:

- (1) The BWMS installed on board ships on or after 28 October 2020 is to be type approved in accordance with the revised Guidelines for Approval of Ballast Water Management System (G8), adopted by the Resolution MEPC.279(70);

(2) The BWMS installed on board ships prior to 28 October 2020 is to be type approved in accordance with either the Guidelines (G8) adopted by Resolution MEPC.174(58), or the revised Guidelines (G8) adopted by the Resolution MEPC.279(70);

(3) The word “installed” mentioned in (1) and (2) above means the contractual date of delivery of the BWMS to the ship. In the absence of such a date, it means the actual delivery date of BWMS to the ship.

1.6 Installation requirements of BWMS on board ship

1.6.1 Ships intend to install the BWMS to meet the standard in Regulation D-2 are to be in compliance with the following requirements:

(1) The BWMS is to be accompanied by sampling facilities as described in the Guidelines on Ballast Water Sampling (G2) developed by IMO, so arranged in order to collect representative samples of the ship’s ballast water discharge.

(2) Suitable bypasses or overrides to protect the safety of the ship and personnel are to be installed and used in the event of an emergency and these are to be connected to the BWMS so that any bypass of the BWMS can activate an alarm. The bypass event is to be recorded by control and monitoring equipment and within the ballast water record book.

(3) The requirements of (2) above are not applicable to internal transfers of ballast water within the ship (e.g. anti-heeling operations). For BWMS that transfer water internally which may affect compliance by the ship with the standard described in Regulation D-2 (i.e. circulation or in-tank treatment), the recording in (2) is to identify such internal transfer operations.

1.6.2 The requirements for installation of ballast water management system in Chapter 26, PART EIGHT of CCS Rules for Classification of Sea-going Steel Ships are also to be met for ships with CCS class on which a BWMS is intended to be installed.

CHATER 2 SURVEY FOR SHIPS

2.1 General requirements

2.1.1 The surveys of ballast water management of ships include initial survey, annual survey, intermediate survey, renewal survey and additional survey as following:

(1) An initial survey means a survey carried out before the ship is put in service or before the International Ballast Water Management Certificate or the International Ballast Water Management Statement of Compliance is issued for the first time. This survey is to carry out a complete inspection and test for the Ballast Water Management Plan and any associated structure, equipment, systems, fitting, arrangements and material or processes to verify if they comply with the requirements of the BWM Convention.

(2) A renewal survey means a survey carried out for the renewal of the International Ballast Water Management Certificate or the International Ballast Water Management Statement of Compliance when it is expired, the interval of this survey is to be specified by the flag State Administration, but not exceeding five years. This survey is to ensure that the Ballast Water Management Plan and any associated structure, equipment, systems, fitting, arrangements and material or processes are fully comply with the applicable requirements of the BWM Convention.

(3) An intermediate survey is to be carried out within three months before or after the second Anniversary date or within three months before or after the third Anniversary date of the International Ballast Water Management Certificate or the International Ballast Water Management Statement of Compliance, which is to take the place of one of the annual surveys. The intermediate survey is to ensure that the equipment, associated systems and processes for Ballast Water Management fully comply with the applicable requirements of the BWM Convention and are in good working order. Such intermediate survey is to be endorsed on the Certificate or Statement.

(4) An annual survey is to be carried out within three months before or after each Anniversary date of the due date of the International Ballast Water Management Certificate or the International Ballast Water Management Statement of Compliance. The annual survey includes a general inspection of the structure, any equipment, systems, fittings, arrangements and material or processes associated with the Ballast Water Management Plan to ensure that they have been maintained and remain satisfactory for the service for which the ship is intended. Such annual survey is to be endorsed on the Certificate or Statement.

(5) An additional survey is to be carried out after a change, replacement, or significant repair of the structure, equipment, systems, fittings, arrangements and material necessary to achieve full compliance with the requirements of the BWM Convention. Such survey either general or partial, according to the circumstances, is to be carried out to ensure that any such change, replacement, or significant repair has been effectively made, so that the ship complies with the requirements of this Convention. A survey report is to be provided upon the completion of such survey.

2.1.2 According to the provisions of Regulation E-5.3 and Regulation E-5.5 of the BWM Convention, the period of validity of certificate may be extended in the following cases:

(1) If a Certificate is issued for a period of less than five years, and if it is permitted by the Administration, the period of validity of the Certificate may be extended beyond the expiry date to the maximum period for 5 years provided that the intermediate survey applicable when a Certificate is issued for a period of five years is carried out as appropriate;

(2) If a ship at the time when the Certificate expires is not in a port in which it is to be surveyed, and if it is permitted by the Administration, the period of validity of the Certificate may be extended, but this extension is to be granted only for the purpose of allowing the ship to complete its voyage to the port in which it is to be surveyed, and then only in cases where it appears proper and reasonable to do so. When the renewal survey is completed, the new Certificate is to be valid to a date not exceeding five years from the date of expiry of the existing Certificate before the extension was granted.

(3) A Certificate issued to a ship engaged on short voyage which has not been extended under the above-mentioned provisions, and if it is permitted by the Administration, a period of grace of up to one month from the date of expiry stated on it. When the renewal survey is completed, the new Certificate is to be valid to a date not exceeding five years from the date of expiry of the existing Certificate before the extension was granted.

2.1.3 The survey and certification are to be carried out based on the application from applicants (shipowners, shipyards, etc.) for complying with the standards in Regulation D-1 and/or Regulation D-2, provided that the requirements of BWM Convention is met.

2.1.4 Under the authorization of the flag State Administrations or requested by shipyards/shipowners, CCS is to issue an International Ballast Water Management Certificate (IBWMC) or an International Ballast Water Management Statement of Compliance for ships which are carried out the initial survey in accordance with this Guidelines and verified to be in compliance with the requirements of BWM Convention.

2.1.5 Subject to the authorization of the flag State Administration, CCS may carry out a survey for ships of the flag State which have been put in service before 8 September 2017 and issue an International Ballast Water Management Certificate (IBWMC) or an International Ballast Water Management Statement of Compliance in accordance with the BWM Convention prior to the date of entry into force (8 September 2017):

(1) An International Ballast Water Management Certificate is to be issued to a ship of a Party of the BWM Convention after the initial survey specified in 2.3 of this Chapter is completed, and indicated that “the Certificate will be valid from 8 September 2017” in the Certificate.

(2) An International Ballast Water Management Certificate is to be issued to a ship of a Party of the BWM Convention which has been issued an International Ballast Water Management Statement of Compliance after initial survey specified in 2.3 of this Chapter is completed in conjunction with the renewal survey of statement of compliance for ballast water or any latest class or statutory survey and indicated that “the Certificate will be valid from 8 September 2017” in the Certificate.

(3) An International Ballast Water Management Statement of Compliance is to be issued to a ship of non- Party of the BWM Convention after the initial survey specified in 2.3 of this Chapter is completed.

2.1.6 For ships which are agreed by the flag State Administration that the first scheduled renewal survey for IOPP certificate can be carried out in advance and are permitted to be de-harmonizing from other certificates, CCS is to carry out the renewal survey for IOPP certificate in advance according to the specific requirements and authorization of the flag State. It is recommended that ships intending to carry out an earlier IOPP renewal survey are to be subject to an initial survey under the BWM Convention at meanwhile, and an International Ballast Water Management Certificate or an International Ballast Water Management Statement of Compliance is to be issued after the initial survey specified in 2.3 of this Chapter is completed.

2.1.7 The International Ballast Water Management Certificate or the International Ballast Water Management Statement of Compliance is to be drawn up, in the forms specified in Appendix 1 and Appendix 2 of the Guidelines respectively, in Chinese and one of English, French and Spanish languages.

2.2 Application for survey

2.2.1 The applicant is to submit a written application for survey to CCS, with the following documents:

(1) Ship particulars:

- 1) Name of ship
- 2) Distinctive number or letter
- 3) Port of registry
- 4) Gross tonnage
- 5) IMO number
- 6) Date of construction
- 7) Ballast water capacity (in m³)

(2) For new ships

- 1) the relevant drawings and documents of hull structures required in 2.1.3, Chapter 2, PART TWO of CCS Rules for Classification of Sea-going Steel Ships
- 2) the relevant drawings and documents of machinery installations required in 2.1.2, Chapter 2, PART THREE of CCS Rules for Classification of Sea-going Steel Ships
- 3) the relevant drawings and documents of electrical installations required in 1.1.3, Chapter 1, PART FOUR of CCS Rules for Classification of Sea-going Steel Ships
- 4) Ballast Water Management Plan (for ships installed BWMS, including the copy of type approval certificate for BWMS, model and treatment capacity of BWMS, working principles and operation instructions, etc.)
- 5) arrangement of BWMS (if applicable)
- 6) arrangement of ventilation for BWMS space (if applicable)
- 7) other drawings and documents deemed necessary by CCS.

(3) For ships in-service:

- 1) for any modification or conversion involving classed hull, machinery installations and electrical installations, the drawings and documents related to such modification are to be submitted to CCS for approval or for information.
- 2) for ships in-service intending to install BWMS, the following drawings are to be submitted:
 - a. Ballast Water Management Plan (including the copy of type approval certificate for BWMS, model and treatment capacity of BWMS, working principles and operation instructions, etc.)
 - b. arrangement of BWMSs
 - c. drawings of ballast water piping system
 - d. arrangement of ventilation for BWMSs space
 - e. general arrangement of air pipes, sounding devices and overflow devices (if applicable)
 - f. diagram of fresh water, steam or compressed air piping systems
 - g. plan of strengthened hull structures
 - h. electrical loading evaluation
 - i. diagram of power system
 - j. arrangement of electrical equipment in engine/pump rooms
 - k. diagram of lighting system and emergency lighting system
 - l. arrangement of electrical equipment in dangerous areas (if applicable)
 - m. diagram of electrical system for ballast water management unit
 - n. verification information of intrinsically safe circuits (if applicable)
 - o. other drawings and information deemed necessary by CCS.
- 3) For the ships in-service intending to install BWMS, the following drawings and documents are to be submitted for information:
 - a. light weight and the position of center of gravity after the BWMS is modified, or the added weight and position of center of gravity after modification
 - b. other drawings and information deemed necessary by CCS.
- 4) For the ships in-service not intending to install BWMS, the following drawings and documents are to be submitted for information:

- a. Ballast Water Management Plan
- b. other drawings and information deemed necessary by CCS.

2.3 Initial survey

2.3.1 Check of drawings and designs is to include:

- (1) For new ships, checking whether the drawings and documents required in 2.2.1(1) and (2) have been examined;
- (2) For the ships in-service, checking whether the drawings and information required in 2.2.1(1) and (3) have been examined.

2.3.2 The survey under the construction and after installation or after modification is to include:

- (1) confirming that the approved BWMP and the Ballast Water Record Book (BWR) required in the BWM Convention have been provided;
- (2) confirming that the installed BWMS is provided with the type approval certificate (TAC) (when the standard in Regulation D-2 is applicable); for the ships classed with CCS, confirming the installed BWMS is provided with the product certificate issued by CCS;
- (3) confirming that the electronic and electrical components of BWMS have been type tested in accordance with the relevant specifications, and a statement has been provided by the Administration or the laboratory authorized by the Administration (when the standard in Regulation D-2 is applicable); For the ships classed with CCS, confirming the installed BWMS has been carried out product approval in accordance with the requirements of CCS Rules for Classification of Sea-going Steel Ships;
- (4) confirming that the equipment manual for major components of the BWMS has been provided (when the standard in Regulation D-2 is applicable);
- (5) confirming that the operational and technical manuals for the BWMS specific to the ship and approved by the Administration or its recognized organization, containing a technical description, operational and maintenance procedures, and backup procedures in case of equipment malfunction have been provided (when the standard in Regulation D-2 is applicable);
- (6) confirming that installation specifications, installation commissioning procedures and initial calibration procedures for the BWMS have been provided (when the standard in Regulation D-2 is applicable);
- (7) confirming that the sampling facilities are provided and so arranged in order to collect representative samples of the ship's ballast water from the ballast water management system intake before the ballast water discharge points (when the standard in Regulation D-2 is applicable);
- (8) verifying that the BWMS has been installed in accordance with the technical installation specifications (when the standard in Regulation D-2 is applicable);
- (9) verifying that the BWMS is in conformity with the Type Approval Certificate of BWMS issued by the Administration or its representative (when the standard in Regulation D-2 is applicable);

- (10) verifying that the installation of the complete BWMS has been carried out in accordance with the manufacturer's equipment specification (when the standard in Regulation D-2 is applicable);
- (11) verifying that any operational inlets and outlets are located in the positions indicated on the drawings of pumping and piping arrangements (when the standard in Regulation D-2 is applicable);
- (12) confirming that the workmanship of the installation is satisfactory, and in particular, that any bulkhead penetrations or penetrations of the ballast system piping are to the relevant approved standards (when the standard in Regulation D-2 is applicable);
- (13) confirming that the installation and commissioning procedures have been completed (when the standard in Regulation D-2 is applicable);
- (14) verifying that the control and monitoring equipment operates correctly (when the standard in Regulation D-2 is applicable);
- (15) confirming that the ballast water management recording device is operatable and that there is a sufficient supply of consumables on board (when the standard in Regulation D-2 is applicable);
- (16) confirming the satisfactory installation and operation of the BWMS, including the any audible or visual alarms (when the standard in Regulation D-2 is applicable);
- (17) confirming that sufficient active substance are provided on board, and the dosage instruction for active substances or preparations are available on board (when the standard in Regulation D-2 is applicable);
- (18) verifying that the prototype ballast water treatment technology installation has been carried out in accordance with the approved Programme (when Regulation D-4 is applicable);
- (19) confirming that a Statement of Compliance for a Prototype Ballast Water Treatment Technology has been provided (when Regulation D-4 is applicable);

2.3.3 Upon the satisfactory results, the completion of initial survey is to consist of:

- (1) An International Ballast Water Management Certificate (IBWMC) is to be issued for a ship of a Party by CCS under its authorization to carry out survey and certification. Where the ship is surveyed and certified before the date of entry into force of the BWM Convention (i.e. 8 September 2017), it is to be indicated that "the Certificate will be valid from the date of entry into force of the BWM Convention" on the cover page of IBWMC;
- (2) An International Ballast Water Management Statement of Compliance is to be issued to a ship other than these specified in (1) above.

2.4 Annual survey

2.4.1 The examination of current certificates and other records are to consist of:

- (1) checking the validity, as appropriate, of the Cargo Ship Safety Equipment Certificate, the Cargo Ship Safety Radio Certificate and the Cargo Ship Safety Construction Certificate or the Cargo Ship Safety Certificate or Passenger Ship Safety Certificate;

- (2) checking the validity of the International Loadline Certificate or International Loadline Exemption Certificate;
- (3) checking the validity of the International Oil Pollution Prevention (IOPP) Certificate, the International Sewage Pollution Prevention (ISPP) Certificate and the International Air Pollution Prevention (IAPP) Certificate;
- (4) checking the validity of the International Ship Security Certificate;
- (5) checking, when appropriate, the validity of Safety Management Certificate (SMC), and that a copy of the Document of Compliance is on board;
- (6) checking the certificates of class, if the ship is classed with a classification society;
- (7) checking, when appropriate, the validity of the International Certificate of Fitness for the Carriage of Liquefied Gas in Bulk;
- (8) checking, when appropriate the validity of the International Pollution Prevention Certificate for the Carriage of Noxious Liquid Substances in Bulk (NLS);
- (9) checking that the ship's complement complies with the Minimum Safe Manning Document (SOLAS74/88 Reg.V/13(b));
- (10) checking that the masters, officers and ratings are certified as required by the Convention on Standards of International Training, Certification and Watchkeeping for Seafarers (STCW Convention);
- (11) checking whether any new equipment has been fitted and if so, confirming it has been approved before installation and that any changes are reflected in the certificate;
- (12) checking whether the appropriate entries have been made in the Ballast Water Record Book (BWR);
- (13) confirming that the BWMP is on board;
- (14) sighting the type test certificate for BWMS (when the standard in Regulation D-2 is applicable);
- (15) sighting the records of BWMS recording device (when the standard in Regulation D-2 is applicable);
- (16) sighting, if applicable, the Statement of Compliance for a Prototype Ballast Water Treatment Technology (when Regulation D-4 is applicable);
- (17) verifying that there is evidence that the Prototype Ballast Water Treatment Technology is continuing to be operated in accordance with the approved programme (when Regulation D-4 is applicable).

2.4.2 The examination or confirmation for the following items are to consist of:

- (1) examining externally the ballast water treatment system and confirming its satisfactory operation (when the standard in Regulation D-2 is applicable);

- (2) confirming that the active substances in accordance with the manufacturer's recommendations are provided on board (when the standard in Regulation D-2 is applicable);
- (3) confirming that dosage instruction for active substance or preparations are available on board (when the standard in Regulation D-2 is applicable);
- (4) examining externally the prototype ballast water treatment technology and confirming its satisfactory operation (when Regulation D-4 is applicable).

2.4.3 The completion of annual survey is to consist of:

- (1) After satisfactory survey, the International Ballast Water Management Certificate (IBWMC) or the International Ballast Water Management Statement of Compliance is to be endorsed;
- (2) If a survey shows that the condition of a ship or its equipment is unsatisfactory, corrective action is to be taken immediately and it is to be reported to the Administration and the port State Authority (if the ship is in a port of another Party).

2.5 Intermediate survey

2.5.1 The current certificates and other records required for the annual survey in 2.4.1 are to be checked;

2.5.2 Examination or confirmation is to consist of:

- (1) items required for the annual survey in 2.4.2;
- (2) examining the ballast water management system for obvious defects, deterioration or damages including examining associated pumps, piping and fittings for wear and corrosion (when the standard in Regulation D-2 is applicable).

2.5.3 The completion of intermediate survey is to consist of:

- (1) After satisfactory survey, the International Ballast Water Management Certificate (IBWMC) or the International Ballast Water Management Statement of Compliance is to be endorsed correspondingly;
- (2) If a survey shows that the condition of a ship or its equipment is unsatisfactory, corrective action is to be taken immediately and it is to be reported to the Administration and the port State Authority (if the ship is in a port of another Party).

2.6 Renewal survey

2.6.1 The current certificates and other records required for the annual survey in 2.4.1 are to be checked, except for the validity of the International Ballast Water Management Certificate (IBWMC) or the International Ballast Water Management Statement of Compliance.

2.6.2 Check/inspection is to consist of:

- (1) All items required for the intermediate survey in 2.5.2;

(2) confirming, by simulated test or equivalent, the satisfactory operation of the ballast water management systems (when Regulation D-4 is applicable).

2.6.3 The completion of renewal survey is to consist of:

(1) After satisfactory survey, a new International Ballast Water Management Certificate (IBWMC) or the International Ballast Water Management Statement of Compliance is to be issued.

2.7 Additional survey

2.7.1 Additional survey is to be carried out after a change, replacement or significant repair of any structure, equipment, systems, fittings, arrangements and materials necessary to achieve full compliance with the BWM Convention.

2.7.2 The additional survey is to ensure that any change, replacement or significant repair specified in 2.7.1 has been made effectively so that the ship is in compliance with the requirements of the BWM Convention.

2.7.3 Survey report is to be provided upon the completion of the survey.

附件 1
Appendix 1

国际压载水管理证书格式
FORM OF INTERNATIONAL BALLAST WATER MANAGEMENT CERTIFICATE

国际压载水管理证书
INTERNATIONAL BALLAST WATER MANAGEMENT CERTIFICATE

本证书经_____政府授权，
由_____（国家/地区全称）
_____根据
（根据本公约授权的适任人员或组织全称）

《国际船舶压载水和沉淀物控制与管理公约》（下文称为“本公约”）的规定颁发。
Issued under the provisions of the International Convention for the Control and Management of
Ships' Ballast Water and Sediments (hereinafter referred to as "the Convention") under the authority
of the Government of

.....
(full designation of the country or region)
by
(full designation of the competent person or organization authorized under the provisions of the
Convention)

船舶资料^①
Particulars of ship

船名.....
Name of ship

船舶编号或代号.....
Distinctive number or letters

船籍港.....
Port of registry

总吨位.....
Gross Tonnage

IMO编号^②.....
IMO number

建造日期.....
Date of Construction

① 船舶资料可以在表格中横向排列。
Alternatively, the particulars of the ship may be placed horizontally in boxes.

② 按照本组织大会决议A.600(15)《IMO船舶编号体系》。
IMO Ship Identification Number Scheme adopted by the Organization by resolution A.600(15).

压载水容量(以m³计).....
Ballast Water Capacity (in cubic metres)

使用的压载水管理方法细节

Details of Ballast Water Management Method(s) Used

使用的压载水管理方法.....
Method of Ballast Water Management used

安装日期(如适用).....
Date installed (if applicable)

制造商名称(如适用).....
Name of manufacturer (if applicable)

该船使用的主要压载水管理方法为:

The principal Ballast Water Management method(s) employed on this ship is/are:

- 按照D-1条款
in accordance with regulation D-1
- 按照D-2条款
in accordance with regulation D-2
(陈述).....
(describe)
- 该船应符合D-4条款
the ship is subject to regulation D-4

兹证明:

THIS IS TO CERTIFY:

1 该船业已按本公约附则第E-1条的要求进行了检验; 以及
That the ship has been surveyed in accordance with regulation E-1 of the Annex to the Convention; and

2 检验表明该船的压载水管理符合本公约附则的要求。
That the survey shows that Ballast Water Management on the ship complies with the Annex to the Convention.

本证书根据本公约附则第E-1条的检验, 有效期至_____。
This certificate is valid until_____ subject to surveys in accordance with regulation E-1 of the Annex to the Convention.

检验完成日期为: _____(dd/mm/yyyy)
Completion date of the survey on which this certificate is based: dd/mm/yyyy

本证书在.....颁发。
(发证地点)

Issued at
(Place of issue of certificate)

.....
(发证日期) (获正式授权发证官员签名)
(Date of issue) (Signature of authorized official issuing the certificate)

(发证机关盖章或钢印)
(Seal or stamp of the authority, as appropriate)

第E-5.8.3条规定的年度及中间检验
ANNUAL/INTERMEDIATE SURVEY IN ACCORDANCE WITH REGULATION E-5.8.3

兹证明在按本公约第E-5.8.3条规定的年度/中间*检验中，查明该船符合本公约的有关规定：
THIS IS TO CERTIFY that, at an annual/intermediate* survey in accordance with regulation E-5.8.3 of the Annex to the Convention, the ship was found to comply with the relevant provisions of the Convention:

签字:
(获正式授权官员的签名)
Signed
(Signature of authorized official)
地点:
Place.....
日期:
Date.....

(发证机关盖章或钢印)
(Seal or stamp of the authority, as appropriate)

第E-5.3条所适用的对有效期小于5年的证书的展期签署
ENDORSEMENT TO EXTEND THE CERTIFICATE IF VALID
FOR LESS THAN 5 YEARS WHERE REGULATION E-5.3 APPLIES

该船符合本公约的有关规定，按照本公约附则第E-5.3条的要求，该证书在_____之前被接受为有效。

The ship complies with the relevant provisions of the Convention, and this Certificate shall, in accordance with regulation E-5.3 of the Annex to the Convention, be accepted as valid until.....

签字:
(获正式授权官员的签名)
Signed
(Signature of authorized official)
地点:
Place
日期:
Date.....

(发证机关盖章或钢印)
(Seal or stamp of the authority, as appropriate)

* 视情删除。
Delete as appropriate.

在已完成换证检验并且第E-5.4条适用时的签署
**ENDORSEMENT WHERE THE RENEWAL SURVEY HAS BEEN
COMPLETED AND REGULATION E-5.4 APPLIES**

该船符合本公约的有关规定，按照本公约附则第E-5.4条的要求，该证书在_____之前被接受为有效。

The ship complies with the relevant provisions of the Convention and this Certificate shall, in accordance with regulation E-5.4 of the Annex to the Convention, be accepted as valid until
.....

签字:
(获正式授权官员的签名)

Signed
(Signature of authorized official)

地点:
Place

日期:
Date.....

(发证机关盖章或钢印)
(Seal or stamp of the authority, as appropriate)

第E -5.5或E-5.6条适用时直至抵达港口和在某一宽限期内的证书展期签署
**ENDORSEMENT TO EXTEND THE VALIDITY OF THE CERTIFICATE UNTIL
REACHING THE PORT OF SURVEY OR FOR A PERIOD OF GRACE
WHERE REGULATION E-5.5 OR E-5.6 APPLIES**

该证书应按照本公约附则第E-5.5或E-5.6*条的要求，在_____之前被接受为有效。

This Certificate shall, in accordance with regulation E-5.5 or E-5.6* of the Annex to the Convention, be accepted as valid until

签字:
(获正式授权官员的签名)

Signed
(Signature of authorized official)

地点:
Place

日期:
Date.....

(发证机关盖章或钢印)
(Seal or stamp of the authority, as appropriate)

* 视情删除。

Delete as appropriate.

在第E-5.8条适用时将周年日提前的签署
ENDORSEMENT FOR ADVANCEMENT OF ANNIVERSARY DATE
WHERE REGULATION E-5.8 APPLIES

按照本公约附则第E-5.8条的要求，新的周年日为：_____。
In accordance with regulation E-5.8 of the Annex to the Convention the new Anniversary date is.....
.....

签字：
(获正式授权官员的签名)

Signed
(*Signature of authorized official*)

地点：
Place

日期：
Date.....

(发证机关盖章或钢印)
(*Seal or stamp of the authority, as appropriate*)

按照本公约附则第E-5.8条的要求，新的周年日为：_____。
In accordance with regulation E-5.8 of the Annex to the Convention the new Anniversary date is.....
.....

签字：
(获正式授权官员的签名)

Signed
(*Signature of authorized official*)

地点：
Place

日期：
Date.....

(发证机关盖章或钢印)
(*Seal or stamp of the authority, as appropriate*)

附件 2
Appendix 2

国际压载水管理符合证明格式
FORM OF INTERNATIONAL BALLAST WATER MANAGEMENT
STATEMENT OF COMPLIANCE

国际压载水管理符合证明
INTERNATIONAL BALLAST WATER MANAGEMENT STATEMENT OF COMPLIANCE

本符合证明经_____政府授权^①，
由_____（国家/地区全称）
_____根据
（根据本公约授权的适任人员或组织全称）

《国际船舶压载水和沉淀物控制与管理公约》（下文称为“本公约”）的规定颁发。
Issued under the provisions of the International Convention for the Control and Management
of Ships' Ballast Water and Sediments (hereinafter referred to as “the Convention”) under the
authority of the Government of

.....
(full designation of the country or region)
by
(full designation of the competent person or organization authorized under the provisions of the
Convention)

船舶资料^②
Particulars of ship

船名.....
Name of ship

船舶编号或代号.....
Distinctive number or letters

船籍港.....
Port of registry

总吨位.....
Gross Tonnage

IMO编号^③.....
IMO number

① 不适用者划去。

Delete as appropriate

② 船舶资料可以在表格中横向排列。

Alternatively, the particulars of the ship may be placed horizontally in boxes.

③ 按照本组织大会决议A.600(15)《IMO船舶编号体系》。

IMO Ship Identification Number Scheme adopted by the Organization by resolution A.600(15).

建造日期

Date of Construction

压载水容量(以m³计)

Ballast Water Capacity (in cubic metres)

使用的压载水管理方法细节

Details of Ballast Water Management Method(s) Used

使用的压载水管理方法

Method of Ballast Water Management used

安装日期(如适用)

Date installed (if applicable)

制造商名称(如适用)

Name of manufacturer (if applicable)

该船使用的主要压载水管理方法为:

The principal Ballast Water Management method(s) employed on this ship is/are:

按照D-1条款
in accordance with regulation D-1

按照D-2条款
in accordance with regulation D-2

(陈述)

(describe)

该船应符合D-4条款
the ship is subject to regulation D-4

兹证明:

THIS IS TO CERTIFY:

1 该船业已按本公约附则第E-1条的要求进行了检验; 以及
That the ship has been surveyed in accordance with regulation E-1 of the Annex to the Convention; and

2 检验表明该船的压载水管理符合本公约附则的要求。
That the survey shows that Ballast Water Management on the ship complies with the Annex to the Convention.

本符合证明根据本公约附则第E-1条的检验, 有效期至_____。
This Statement of Compliance is valid until_____ subject to surveys in accordance with regulation E-1 of the Annex to the Convention.

检验完成日期为: _____(dd/mm/yyyy)
Completion date of the survey on which this Statement of Compliance is based: dd/mm/yyyy

本符合证明在.....颁发。
(发证地点)

Issued at
(Place of issue of certificate)

.....
(发证日期)
(Date of issue)

.....
(发证官员签名)
(Signature of authorized official issuing the certificate)

(发证机关盖章或钢印)
(Seal or stamp of the authority, as appropriate)

年度及中间检验的签署
ENDORSEMENT FOR ANNUAL AND INTERMEDIATE SURVEY(S)

兹证明业已按本公约第E-1条的要求对该船进行了检验，查明该船符合本公约的有关规定：
 THIS IS TO CERTIFY that a survey required by regulation E-1 of the Annex to the Convention the ship was found to comply with the relevant provisions of the Convention:

年度检验： 签字：
 (获正式授权官员的签名)
 Annual survey: Signed
 (Signature of duly authorized official)
 地点：
 Place
 日期：
 Date.....
 (发证机关盖章或钢印)
 (Seal or stamp of the authority, as appropriate)

年度*/中间检验*： 签字：
 (获正式授权官员的签名)
 Annual*/Intermediate survey*: Signed
 (Signature of duly authorized official)
 地点：
 Place
 日期：
 Date.....
 (发证机关盖章或钢印)
 (Seal or stamp of the authority, as appropriate)

年度*/中间检验*： 签字：
 (获正式授权官员的签名)
 Annual*/Intermediate survey*: Signed
 (Signature of duly authorized official)
 地点：
 Place
 日期：
 Date.....
 (发证机关盖章或钢印)
 (Seal or stamp of the authority, as appropriate)

年度检验： 签字：
 (获正式授权官员的签名)
 Annual survey: Signed
 (Signature of duly authorized official)
 地点：
 Place
 日期：
 Date.....
 (发证机关盖章或钢印)
 (Seal or stamp of the authority, as appropriate)

* 视情删除。
 Delete as appropriate.

第E-5.8.3条规定的年度及中间检验
ANNUAL/INTERMEDIATE SURVEY
IN ACCORDANCE WITH REGULATION E-5.8.3

兹证明在按本公约第E-5.8.3条规定的年度/中间*检验中，查明该船符合本公约的有关规定：
THIS IS TO CERTIFY that, at an annual/intermediate* survey in accordance with regulation E-5.8.3 of the Annex to the Convention, the ship was found to comply with the relevant provisions of the Convention:

签字：
(获正式授权官员的签名)

Signed
(Signature of authorized official)

地点：
Place.....

日期：
Date.....

(发证机关盖章或钢印)
(Seal or stamp of the authority, as appropriate)

第E-5.3条所适用的对有效期小于5年的符合证明的展期签署
ENDORSEMENT TO EXTEND THE STATEMENT OF COMPLIANCE IF VALID
FOR LESS THAN 5 YEARS WHERE REGULATION E-5.3 APPLIES

该船符合本公约的有关规定，按照本公约附则第E-5.3条的要求，该证书在_____之前被接受为有效。

The ship complies with the relevant provisions of the Convention, and this Statement of Compliance shall, in accordance with regulation E-5.3 of the Annex to the Convention, be accepted as valid until.....

签字：
(获正式授权官员的签名)

Signed
(Signature of authorized official)

地点：
Place

日期：
Date.....

(发证机关盖章或钢印)
(Seal or stamp of the authority, as appropriate)

* 视情删除。
Delete as appropriate.

在已完成换证检验并且第E-5.4条适用时的签署
**ENDORSEMENT WHERE THE RENEWAL SURVEY HAS BEEN
COMPLETED AND REGULATION E-5.4 APPLIES**

该船符合本公约的有关规定，按照本公约附则第E-5.4条的要求，该符合证明在之前被接受为有效。

The ship complies with the relevant provisions of the Convention and this Statement of Compliance shall, in accordance with regulation E-5.4 of the Annex to the Convention, be accepted as valid until

.....

签字:
(获正式授权官员的签名)

Signed
(*Signature of authorized official*)

地点:
Place

日期:
Date.....

(发证机关盖章或钢印)
(*Seal or stamp of the authority, as appropriate*)

**第E -5.5或E-5.6条适用时直至抵达港口和在某一宽限期内的符合证明展期签署
ENDORSEMENT TO EXTEND THE VALIDITY OF THE STATEMENT OF
COMPLIANCE UNTIL REACHING THE PORT OF SURVEY OR FOR
A PERIOD OF GRACE WHERE REGULATION E-5.5 OR E-5.6 APPLIES**

该符合证明应按照本公约附则第E-5.5或E-5.6*条的要求，在_____之前被接受为有效。

This Statement of Compliance shall, in accordance with regulation E-5.5 or E-5.6* of the Annex to the Convention, be accepted as valid until

签字:
(获正式授权官员的签名)

Signed
(*Signature of authorized official*)

地点:
Place

日期:
Date.....

(发证机关盖章或钢印)
(*Seal or stamp of the authority, as appropriate*)

* 视情删除。
Delete as appropriate.

在第E-5.8条适用时将周年日提前的签署
**ENDORSEMENT FOR ADVANCEMENT OF ANNIVERSARY DATE
WHERE REGULATION E-5.8 APPLIES**

按照本公约附则第E-5.8条的要求，新的周年日为：_____。
In accordance with regulation E-5.8 of the Annex to the Convention the new Anniversary date is.....
.....

签字：
(获正式授权官员的签名)

Signed
(*Signature of authorized official*)

地点：

Place

日期：

Date.....

(发证机关盖章或钢印)
(*Seal or stamp of the authority, as appropriate*)

按照本公约附则第E-5.8条的要求，新的周年日为：_____。
In accordance with regulation E-5.8 of the Annex to the Convention the new Anniversary date is.....
.....

签字：
(获正式授权官员的签名)

Signed
(*Signature of authorized official*)

地点：

Place

日期：

Date.....

(发证机关盖章或钢印)
(*Seal or stamp of the authority, as appropriate*)