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NVIC 4 99

MAR 26 1999

NAVIGATION AND VESSEL INSPECTION CIRCULAR NO. 4 99

Subj: SPECIAL TRAINING REQUIREMENTS FOR MERCHANT MARINERS SERVING ON PASSENGER SHIPS OTHER THAN ROLL-ON/ROLL-OFF (RO-RO) PASSENGER SHIPS

1. PURPOSE. This Circular advises interested parties of the special training and documentation requirements for merchant mariners serving on board passenger ships, other than Ro-Ro passenger ships, as prescribed by Regulation V/3 of the International Convention for Standards of Training, Certification and Watchkeeping 1978, as amended (STCW). These requirements were adopted by the International Maritime Organization (IMO), Maritime Safety Committee (MSC) on June 4, 1997 as Resolution MSC.66(68). This amendment to STCW came into force on January 1, 1999. The U.S. regulations implementing this amendment had not been completed as of January 1, 1999. This Circular describes the STCW requirements for passenger ships on international voyages, other than Ro-Ro passenger ships (which are addressed in Navigation and Vessel Inspection Circular (NVIC) 6-98), and serves as recommended practice for merchant mariners serving on passenger ships other than Ro-Ro passenger ships on domestic voyages. This Circular also advises all U.S. flag passenger vessel operators that after January 1, 1999, when their vessels are on international voyages, they may be subject to port State control boardings to ensure compliance with STCW Regulation V/3.

2. DIRECTIVES AFFECTED. None

3. BACKGROUND.

a. In 1993, IMO embarked on a comprehensive revision of the STCW to establish the highest practical standards of competence for mariners and to reduce human error as a major cause of marine casualties. Minimum requirements for training and qualification of personnel on Ro-Ro passenger ships were included in the 1995 STCW amendments and implemented in Coast Guard NVIC 6-98, as well as in Coast Guard regulations found at 46 CFR Part 10,

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Subpart J and 46 CFR Part 12, Subpart 12.30. The 1995 amendments included a new regulation on training personnel on Ro-Ro passenger ships. The STCW conference which adopted the 1995 STCW amendments also approved a resolution calling on IMO to develop additional amendments on crisis management training for personnel on passenger ships other than Ro-Ro passenger ships. The IMO sub-committee on Standards of Training and Watchkeeping (STW) subsequently prepared draft amendments for passenger ships which essentially mirror those for Ro-Ro passenger ships, except it removed provisions that are appropriate only for those ships. On June 4, 1997, the Marine Safety Committee (MSC) of the IMO adopted a package of amendments to the convention which establishes requirements for qualification of masters, officers, ratings and other personnel on passenger ships, other than Ro-Ro passenger ships, operating on international voyages. These amendments entered into force on January 1, 1999.

- b. STCW Regulation V/3 requires masters, officers, ratings, and other personnel on passenger ships on international voyages, other than Ro-Ro passenger ships, to successfully complete specialized training in passenger safety and crowd management during emergency situations.

#### 4. DISCUSSION.

- a. Application. STCW Regulation V/3 applies to licensed and documented U.S. merchant mariners with duties related to safety and the assistance of passengers in emergency situations on passenger ships other than Ro-Ro passenger ships. It also applies to those mariners on foreign flag passenger ships other than Ro-Ro passenger ships. For the purposes of STCW, a passenger ship is a seagoing, self-propelled vessel which carries more than 12 passengers.
- b. Specialized Training. STCW Regulation V/3 requires that seafarers serving on board passenger ships, other than Ro-Ro passenger ships, successfully complete specialized training as described below. This training may be included in other training which a crewmember may be required to complete.

(1) Crowd Management Training. STCW Regulation V/3.4 and STCW Code A-V/3.1 requires that masters, officers and other personnel designated on muster lists to assist passengers in emergency situations to successfully complete training that includes:

(a) Awareness of life-saving appliance and control plans including:

1. knowledge of muster lists;
2. knowledge of emergency instructions;
3. knowledge of emergency exits; and
4. restrictions on the use of elevators.

(b) Assisting passengers en-route to muster and embarkation stations including:

1. the ability to give clear reassuring orders;
2. the control of passengers in corridors, staircases, and passageways;
3. maintaining escape routes clear of obstructions;
4. evacuation methods for disabled persons and persons with special needs; and
5. how to search accommodation spaces.

(c) Mustering procedures including how to:

1. keep order;
2. reduce and avoid panic;
3. use passenger lists for evacuation counts; and
4. ensure that passengers are suitably clothed and have correctly donned their personal flotation devices (PFDs).

(2) Familiarization Training. STCW Regulation V/3 requires that masters, officers and other personnel assigned specific duties and responsibilities on board a passenger ship, other than a Ro-Ro passenger ship, have successfully completed familiarization training appropriate to the position they are assigned on board in accordance with STCW Regulation V/3.5 and STCW Code A-V/3.2. (This should not be confused with the familiarization training required by STCW Regulation VI/1 or 46 CFR 15.1105(a). However, it should be accounted for in the written instructions on ship-specific familiarization required under Section A-I/14 of the STCW Code.) STCW Regulation V/3 requires that the above noted crewmembers must demonstrate that they understand and can comply with any operational limitations imposed on the ship and that they understand and can apply performance restrictions, including speed limitations in adverse weather, intended to maintain the safety of life and the ship.

(3) Safety Training for Personnel Providing Direct Service to Passengers in Passenger Spaces. STCW Regulation V/3.6 and STCW Code A-V/3.3, requires any person on board a passenger ship, other than a Ro-Ro passenger ship, who provides direct services to passengers in passenger spaces to successfully complete training and demonstrate the ability to:

(a) Communicate with passengers during an emergency, taking into account the:

1. language or languages appropriate to the principal nationalities of passengers carried on the particular route;
2. likelihood that an ability to use an elementary English vocabulary for basic instructions can usually provide a means of communicating with a passenger in need of assistance whether or not the passenger and crew member share a common language;

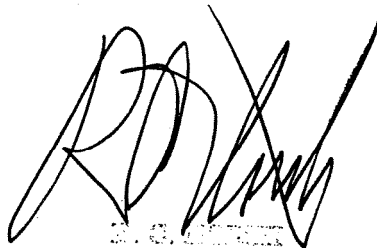
3. need to communicate during an emergency by some other means such as by demonstration, or hand signals, or calling attention to the location of instructions, muster stations, life-saving devices or evacuations routes, when oral communication is impractical;
4. extent to which complete safety instructions have been provided to passengers in their native language or languages; and
5. language in which emergency announcements may be broadcast during an emergency or drill to convey critical guidance to passengers and to facilitate crew members in assisting passengers.

(b) Demonstrate to passengers the use of personal life-saving appliances.

- (4) Passenger Safety. STCW Regulation V/3.7 and STCW Code A-V/3.4 require masters, mates and every person assigned immediate responsibility for embarking and disembarking passengers on a passenger ship, other than a Ro-Ro passenger ship, to be able to demonstrate the ability to carry out this responsibility with special attention to disabled persons and persons needing assistance.
  - (5) Crisis Management and Human Behavior Training. STCW Regulation V/3.8 and STCW Code A-V/3.5 require masters, chief mates, chief engineer officers, second engineer officers and any person having responsibility for the safety of passengers in emergency situations on board passenger ships, other than Ro-Ro passenger ships, to have successfully completed approved training in crisis management and human behavior related to their capacity, duties and responsibilities described in the STCW Table A-V/2 (see enclosure (1)). This requirement came into force on January 1, 1999, and sets out the elements of training for crisis management. STCW Regulation V/3 also requires that the above noted crewmembers provide evidence that they have achieved the standard of competence in accordance with the methods and criteria tabulated in columns 3 and 4 of Table A-V/2.
- c. Training must be Coast Guard Approved/Accepted. All training noted above will have to be part of a Coast Guard approved or accepted training program subject to a Quality Standards System (QSS) as described in SOLAS. Refer to Coast Guard NVIC 7-97 on QSS.
- d. Refresher Training. STCW Regulation V/3.3 and STCW Code A-V/2.3 require that, each five years, seafarers successfully complete appropriate refresher training or provide evidence of demonstrating the required standard of competence required in paragraphs 4.b. (1), (4), and (5) above.
- e. Documentation. STCW Regulation V/3.9 requires that passenger ship owners/operators, other than Ro-Ro passenger ship owners/operators, ensure that each seafarer assigned duties on board, as applicable, holds documentary evidence that shows he or she meets the appropriate training standards required for service on seagoing passenger ships other than Ro-Ro passenger ships.

5. ACTION.

- a. This Circular is to help Officers in Charge, Marine Inspection (OCMIs) inform and guide U.S. merchant mariners only. Regulations requiring compliance with STCW Regulation V/3 by these mariners when serving on passenger ships other than Ro-Ro passenger ships will be forthcoming.
- b. OCMIs should not use this Circular to ensure compliance with STCW Regulation V/3 by U.S. merchant mariners until the appropriate regulations have been published and are in effect. At that time, the OCMI may use this Circular during periodic vessel inspections, when evaluating training programs and crew training/competency records, and during drills conducted to ensure crew competency. After the appropriate regulations have been published and are in effect, the contents of this Circular should also be taken into account during post-marine-casualty investigations to determine whether any non-compliance with these standards is evident. At that time, the OCMI should take appropriate enforcement ~~action where necessary to encourage compliance.~~
- c. Nothing in this Circular precludes enforcement of STCW Regulation V/3 against foreign mariners by the U.S. as a port state. Boardings of foreign ships rely on the authority of STCW itself.



Rear Admiral, U.S. Coast Guard  
 Assistant Commandant for Marine  
 Safety and Environmental Protection

Encl: (1) STCW Code Table A-V/2

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NAVIGATION AND VESSEL INSPECTION CIRCULAR NO. 4-99

D:1 CG Liaison Officer MILSEALIFTCOMD (Code N-7CG) (1).

RSPA (DHM-22), CG Liaison Officer MARAD (MAR-720.2) (1).  
NOAA Fleet Inspection Officer (1).

Table A-V/2

SPECIFICATION OF MINIMUM STANDARD OF COMPETENCE IN CRISIS MANAGEMENT AND HUMAN BEHAVIOR

Column 1	Column 2	Column 3	Column 4
<p><b>COMPETENCE</b></p>	<p><b>KNOWLEDGE, UNDERSTANDING AND PROFICIENCY</b></p>	<p><b>METHODS FOR DEMONSTRATING COMPETENCY</b></p>	<p><b>CRITERIA FOR EVALUATING COMPETENCE</b></p>
<p>Organize shipboard emergency procedures</p>	<p>Knowledge of:</p> <ul style="list-style-type: none"> <li>.1 the general design and layout of the ship;</li> <li>.2 safety regulations;</li> <li>.3 emergency plans and procedures;</li> </ul> <p>The importance of the principles for the development of ship specific emergency procedures including:</p> <ul style="list-style-type: none"> <li>.1 the need for pre-planning and drills of shipboard emergency procedures;</li> <li>.2 the need for all personnel to be aware of and adhere to pre-planned emergency procedures as carefully as possible in the event of an emergency situation.</li> </ul>	<p>Assessment of evidence obtained from approved training, exercises with one or more prepared emergency plans and practical demonstration.</p>	<p>The shipboard emergency procedures ensure a state of readiness to respond to emergency situations.</p>
<p>Optimize the use of resources</p>	<p>Ability to optimize the use of resources, taking into account:</p> <ul style="list-style-type: none"> <li>.1 the possibility that resources available in an emergency may be limited;</li> <li>.2 the need to make full use of personnel and equipment immediately available and, if necessary, to improvise.</li> </ul> <p>Ability to organize realistic drills to maintain a state of readiness, taking into account lessons learned from previous accidents involving passenger ships, debriefing after drills.</p>	<p>Assessment of evidence obtained from approved training, practical demonstration and shipboard training and drills of emergency procedures.</p>	<p>Contingency plans optimize the use of available resources.</p> <p>Allocation of tasks and responsibilities reflects the known competence of individuals.</p> <p>Roles and responsibilities of teams and individuals are clearly defined.</p>

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Column 1	Column 2	Column 3	Column 4
<p><b>COMPETENCE</b></p>	<p><b>KNOWLEDGE, UNDERSTANDING AND PROFICIENCY</b></p>	<p><b>METHODS FOR DEMONSTRATING PROFICIENCY</b></p>	<p><b>CRITERIA FOR EVALUATING COMPETENCE</b></p>
<p>Control response to emergencies</p>	<p>Ability to make an initial assessment and provide an effective response to emergency situations in accordance with established emergency procedures.</p> <p><b>Leadership skills</b></p> <p>Ability to lead and direct others in emergency situations, including the need:</p> <ol style="list-style-type: none"> <li>.1 to set an example during emergency situations;</li> <li>.2 to focus decision making, given the need to act quickly in an emergency;</li> <li>.3 to motivate, encourage, and reassure passengers and other personnel.</li> </ol> <p><b>Stress handling</b></p> <p>Ability to identify the development of symptoms of excessive personnel stress and those of other members of the ship's emergency team.</p> <p>Understanding that stress generated by emergency situations can affect the performance of individuals and their ability to act on instructions and follow procedures.</p>	<p>Assessment of evidence obtained from approved training, practical demonstration and shipboard training and drills of emergency procedures.</p>	<p>Procedures and actions are in accordance with established principles and plans for crisis management on board.</p> <p>Objectives and strategy are appropriate to the nature of the emergency, take account of contingencies and make optimum use of available resources.</p> <p>Actions of crew members contribute to maintaining order and control.</p>



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SPECIFICATION OF MINIMUM STANDARD OF COMPETENCE IN CRISIS MANAGEMENT AND HUMAN BEHAVIOR

Column 1	Column 2	Column 3	Column 4
<p>COMPETENCE</p> <p>Control passengers and other personnel during emergency situations</p>	<p>KNOWLEDGE, UNDERSTANDING, AND PROFICIENCY</p> <p><b>Human behavior and responses</b></p> <p>Ability to control passengers and other personnel in emergency situations, including;</p> <p>.1 awareness of the general reaction patterns of passengers and other personnel in emergency situations, including the possibility that:</p> <p>.1.1 generally it takes some time before people accept the fact that there is an emergency situation;</p> <p>.1.2 some people may panic and not behave with a normal level of rationality, that their ability to comprehend may be impaired and they may not be as responsive to instructions as in non-emergency situations;</p> <p>.2 awareness that passengers and other personnel may, <i>inter alia</i>:</p> <p>.2.1 start looking for relatives, friends and/or their belongings as a first reaction when something goes wrong;</p> <p>.2.2 seek safety in their cabins or in other places on-board where they think they can escape danger;</p> <p>.2.3 tend to move to the upper side when the ship is listing;</p> <p>.3 appreciation of the possible problem of panic resulting from separating families.</p>	<p>METHODS FOR DEMONSTRATING COMPETENCE</p> <p>Assessment of evidence obtained from approved training, practical demonstration and shipboard training and drills of emergency procedures</p>	<p>CRITERIA FOR EVALUATING COMPETENCE</p> <p>Actions of crew members contribute to maintaining order and control.</p>

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SPECIFICATION OF MINIMUM STANDARD OF COMPETENCE IN CRISIS MANAGEMENT AND HUMAN BEHAVIOR

Column 1	Column 2	Column 3	Column 4
<p><b>COMPETENCE</b></p> <p>Establish and maintain effective communications</p>	<p><b>KNOWLEDGE, UNDERSTANDING AND PROFICIENCY</b></p> <p>Ability to establish and maintain effective communications, including:</p> <ol style="list-style-type: none"> <li>.1 the importance of clear and concise instructions and reports;</li> <li>.2 the need to encourage an exchange of information with, and feedback from, passengers and other personnel.</li> </ol> <p>Ability to provide relevant information to passengers and other personnel during an emergency situation, to keep them apprised of the overall situation and to communicate any action required of them, taking into account:</p> <ol style="list-style-type: none"> <li>.1 the language or languages appropriate to the principal nationalities of passengers and other personnel carried on the particular route;</li> <li>.2 the possible need to communicate during an emergency by some other means such as by demonstration, or by hand signals or calling attention to the location of instructions, muster stations, life-saving devices or evacuation routes, when oral communication is impractical;</li> <li>.3 the language in which emergency announcements may be broadcast during an emergency or drill to convey critical guidance to passengers and to facilitate crew members in assisting passengers.</li> </ol>	<p><b>METHODS FOR DEMONSTRATING COMPETENCY</b></p> <p>Assessment of evidence obtained from approved training, exercises and practical demonstration</p>	<p><b>CRITERIA FOR EVALUATING COMPETENCE</b></p> <p>Information from all available sources is obtained, evaluated and confirmed as quickly as possible and reviewed throughout the emergency.</p> <p>Information given to individuals, emergency response teams and passengers is accurate, relevant and timely.</p> <p>Information keeps passengers informed as to the nature of the emergency and the actions required of them.</p>