



Rules for Classification and Construction
Part 1 Seagoing Ships

GUIDELINES FOR SHIP RECYCLING FACILITIES

Volume 13

2024 Edition



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The following Guidelines come into force on 1st July 2024.

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Foreword

The Guidelines for Ship Recycling Facilities contains technical requirements and procedure for recycling ship. This guidelines divide into five section as follows:

Section 1. General

Section 2. Audits

Section 3. Statement of Compliance (SoC)

Section 4. Requirements for Obtaining a Statement of Compliance

Annex A. Application Form (Standard Form)

Annex B. Supplements to the Application (Standard Form)

Annex C. Recommended Format of the Ship Recycling Facility Plan

Annex D. Example Format of Facility information in SRFP

Annex E. Ship Recycling Process From Preparation to Completion

Annex F. Additional Information for Controls of Hazardous Materials

Annex G. Additional Information for Minimum List of Items for the Inventory of Hazardous Materials

Annex H. Materials Found on Board Ships That the Ship Recycling Facility Should Be Prepared to Handle
(Included in Part III of the Inventory of Hazardous Materials)

This guidelines is available to be downloaded at www.bki.co.id. Once downloaded, this Guidelines will be uncontrolled copy. Please check the latest version on the website.

Further queries or comments concerning this guidance are welcomed through communication to BKI Head Office.

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Section 1 General

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A. Scope and Applicability

1. This Guidelines have been developed to provide information and recommendations to parties regarding Ship Recycling mechanisms. The Guidelines include requirements regarding the provision of Ship Recycling Facilities in accordance with those specified in the Hong Kong International Convention for the Safe and Environmentally Sound Recycling of Ships (HKC).
2. This Guidelines are intended to be used in the issuance of "Statements of Compliance" for all Ship Recycling Facilities.
3. In cases where the Ship Recycling Facility requests the issuance of a statement of compliance for any standards or rules which have additional requirements to the Convention (for example, the requirements for ship recycling facilities to be registered on the National regulations, etc), information related to the application of any relevant additional requirements and procedures is to be provided by BKI based upon the relevant guidelines.

B. Definitions

The following definitions have the same meaning in the Convention and apply unless expressly provided otherwise.

1. **Administration** means the Government of the State whose flag the ship is entitled to fly, or under whose authority it is operating.
2. **Anniversary date** means the yearly date corresponding to the expiry date of the period of validity of a Statement of Compliance (hereinafter referred to as "SoC") for a Ship Recycling Facility, which excludes the expiry date of the period of validity of the SoC.
3. **Audit** means the systematic, independent and documented process for obtaining objective evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled.
4. **Competent Authority(ies)** means a governmental authority or authorities designated by a Party as responsible, within specified geographical area(s) or area(s) of expertise, for duties related to Ship Recycling Facilities operating within the jurisdiction of that Party as specified in the Convention.
5. **Competent person** means a person with suitable qualifications, training, and sufficient knowledge, experience and skill, for the performance of the specific work. Specifically, a Competent person may be a trained worker or a managerial employee capable of recognizing and evaluating occupational hazards, risks, and employee exposure to potentially Hazardous Materials or unsafe conditions in a Ship Recycling Facility, and who is capable of specifying the necessary protection and precautions to be taken to eliminate or reduce those hazards, risks, or exposures.
6. **Convention** means the Hong Kong International Convention for the Safe and Environmentally Sound Recycling of Ships.
7. **Document of Authorization to conduct Ship Recycling - DASR** means an authorization document issued by Competent Authority or Recognized Organization for Ship Recycling Facility that has satisfied the requirements.

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- 8. Employer** means a natural or legal person that employs one or more workers engaged in Ship Recycling.
- 9. Gross tonnage** means the gross tonnage (GT) calculated in accordance with the tonnage measurement regulations contained in Annex I to the International Convention on Tonnage Measurement of Ships, 1969, or any successor convention.
- 10. Hazardous Material** means any material or substance which is liable to create hazards to human health and /or the environment.
- 11. Organization recognized by the Competent Authority(ies)** means an organization designated by the Competent Authority(ies) in accordance with regulation 16.2 and regulation 16.3 of the Annex to the Convention to undertake relevant tasks on behalf of the Competent Authority(ies).
- 12. Recycling Company** means the owner of the Ship Recycling Facility or any other organization or person who has assumed the responsibility for operation of the Ship Recycling activity from the owner of the Ship Recycling Facility and who on assuming such responsibility has agreed to take over all duties and responsibilities imposed by the Convention.
- 13. Safe-for-entry** means a space that meets the following criteria:
- 1) the oxygen content of the atmosphere and the concentration of flammable vapours are within safe limits;
 - 2) any toxic materials in the atmosphere are within permissible concentrations; and
 - 3) any residues or materials associated with the work authorized by the Competent person will not produce uncontrolled release of toxic materials or an unsafe concentration of flammable vapours under existing atmospheric conditions while maintained as directed.
- 14. Safe-for-hot work** means a space that meets the following criteria:
- 1) a safe, non-explosive condition, including gas-free status, exists for the use of electric arc or gas welding equipment, cutting or burning equipment or other forms of naked flame, as well as heating, grinding, or spark generating operations;
 - 2) Safe-for-entry requirements prescribed in 12. above are met;
 - 3) existing atmospheric conditions will not change as a result of the hot work; and
 - 4) all adjacent spaces have been cleaned, or inerted, or treated sufficiently to prevent the start or spread of fire.
- 15. Site inspection** means an inspection of the Ship Recycling Facility confirming the condition described by the verified documentation.
- 16. Ship** means a vessel of any type whatsoever operating or having operated in the marine environment and includes submersibles, floating craft, floating platforms, self elevating platforms, Floating Storage Units (FSUs), and Floating Production Storage and Offloading Units (FPSOs), including a vessel stripped of equipment or being towed.
- 17. Ship Recycling** means the activity of complete or partial dismantling of a ship at a Ship Recycling Facility in order to recover components and materials for reprocessing and re-use, whilst taking care of hazardous and other materials, and includes associated operations such as storage and treatment of components and materials on site, but not their further processing or disposal in separate facilities.
- 18. Ship Recycling Facility** means a defined area that is a site, yard or facility used for the recycling of ships.
- 19. Ship Recycling Facility Plan - SRFP** means the Ship Recycling Facility plan prescribed in regulation 18 of the Annex to the Convention.

20. Shipowner means the person or persons or company registered as the owner of the ship or, in the absence of registration, the person or persons or company owning the ship or any other organization or person such as the manager, or the bareboat charterer, who has assumed the responsibility for operation of the ship from the owner of the ship. However, in the case of a ship owned by a State and operated by a company which in that State is registered as the ship's operator, "owner" shall mean such company. This term also includes those who have ownership of the ship for a limited period pending its sale or handing over to a Ship Recycling Facility.

21. Statement of Completion means a confirmatory statement issued by the Ship Recycling Facility that the Ship Recycling process has been completed in accordance with this Convention.

22. Statement of Compliance means a formal declaration which confirmed that Ship Recycling Facilities has satisfied the requirements in accordance with this Guidelines, see [Section 3](#).

23. Worker means any person who performs work, either regularly or temporarily, in the context of an employment relationship including contractor personnel.

C. Informations

1. Provision of Information

The Ship Recycling Facility is to provide the complete and correct information deemed necessary by BKI to maintain the effectiveness (or validity) of the SoC.

2. Maintaining Confidentiality

BKI is responsible for not disclosing any confidential information obtained through an audit of the Ship Recycling Facility carried out in accordance with this Guidelines to any third parties without first securing prior written permission from the Ship Recycling Facility.

3. Conditions of Service

Conditions of service not described in this Guidelines are to be prescribed separately by BKI.

4. List of Ship Recycling Facilities

BKI will make public a list of valid SRFs which, at a minimum, shows the name, scope of activities and organizational elements, geographical location (city or town and country) for each Ship Recycling Facility to which a SoC has been issued. This list will be made available by a means of BKI's choosing, such as its official website, etc.

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A. Conduct of Audit

An audit is to be carried out at the request of the Ship Recycling Facility by Ship Recycling Facility auditors of BKI (hereinafter referred to as “auditor”).

B. Types and Timing of Audits

Audits of Ship Recycling Facilities consist of the following types:

1. Initial Audit

An Initial Audit is to be carried out when a SoC for a Ship Recycling Facility is to be issued for the first time.

2. Periodical Audit

2.1 Renewal Audit

A Renewal Audit is to be carried out within three months prior to the expiry date of an existing SoC.

2.2 Intermediate Audit

An Intermediate Audit is to be carried out after 2 years but not 3 years passing from the anniversary date.

3. Additional Audit

Additional Audits are to be carried out at the request of the Ship Recycling Facility at any time other than the periods indicated for Periodical Audits for any of the following conditions 1) through 5) becomes applicable:

- 1) The Ship Recycling Facility requests an amendment to the operational limitation listed on the existing SoC issued under the provision of [Section 3, B](#) or [Section 3, E.2](#) in order to expand the scope of Ship Recycling it recognized to undertake.
- 2) The Ship Recycling Facility implements corrective measures to comply with amendments made to the provisions of this Guidelines or the Convention, etc.
- 3) Substantial modifications have been made to the SRFP or related systems and the modifications may have a remarkable effect upon on the facility’s ship recycling;
- 4) There is a change in the hazardous materials which the Ship Recycling Facility is capable of removing, storing or processing; or
- 5) BKI deems such an audit to be necessary.

C. Preparations of Audit

1. The relevant Ship Recycling Facility is to prepare all necessary requirements in accordance with the items of the audit and other provisions prescribed in this Guidelines as instructed by the auditor to ensure the proper completion of the audit.
2. The Ship Recycling Facility is to assign personnel who are fully versed with audit processes and competent of preparing for the audit to attend the audit and provide assistance to the auditor as needed.
3. An audit may be suspended in cases where the Ship Recycling Facility fails to prepare necessary requirements for the audit, does not assign the personnel mentioned in 2. above to be present during the audits, or when the auditor feels that adequate measures have not been taken to ensure safety during the execution of the audit.
4. It is the responsibility of the Ship Recycling Facility applying for the issuance of a SoC to assess the effects of its operations and to demonstrate that its ship recycling operations are being conducted in compliance with the Convention as well as any relevant national or regional laws.

D. Initial Audit

1. Application

1.1 A Ship Recycling Facility is to submit an application form as well as the documents listed below to BKI. The Ship Recycling Facility is to ensure that any application submitted is complete.

- 1) A completed SRFP as specified in [Annex C](#).
- 2) Documents outlining the Ship Recycling Facility operations, including any certifications, confirmations, declarations, or other documents required under applicable international or national laws related to Ship Recycling activity. These documents are to be made in the form specified in [Annex B](#) in principle.

1.2 BKI may ask for additional documentation or return the application if the documents submitted in accordance with 1 above are not complete.

2. Required Documentation for SoC Issuance

In addition to documents submitted at the time of the application in accordance with [E.1](#), the Ship Recycling Facility is to present the original versions of the documents prescribed in [2.1](#), [2.2](#) and [2.3](#) to the auditor(s) during audits (both document review and site inspection).

2.1 General

2.1.1 The SRFP, as described in the IMO's "Guidelines for Safe and Environmentally Sound Ship Recycling", in accordance with [Section 4.B](#).

2.1.2 Any other documentation or certification required under applicable international or national laws, including those relevant to ship recycling activity.

2.1.3 Documents related to the management system, including appropriate procedures and techniques, intended to protect human health and the environment without posing any unacceptable risks.

2.2 Management of Hazardous Materials

2.2.1 Procedures for the environmentally sound management of hazardous materials and wastes.

2.2.2 Procedures in place to ensure that all hazardous materials detailed in the "Inventory of Hazardous Materials" are, to the maximum extent possible prior to cutting, identified, labelled, packaged and removed by properly trained and equipped workers, then stored and transported to waste management facilities by licensed vehicles.

2.2.3 Procedures for transporting all hazardous materials and wastes to authorized waste management and disposal sites, and documents demonstrating the compliance of such sites with applicable national regulations. References to applicable international agreements must also be made where such regulations are based upon them.

2.2.4 Procedures for managing all wastes generated through recycling activity, which are to be kept separate from recyclable materials and equipment and labelled and stored under conditions which do not pose a risk to workers, human health or the environment.

2.3 Other

2.3.1 Any evidence and procedures demonstrating that the Ship Recycling Facility has undertaken all necessary actions to comply with the requirements of applicable international and national legislation.

2.3.2 Any evidence and procedures demonstrating that the Ship Recycling Facility has ensured that all planned and executed activities respect the limits set out in applicable national laws and regulations on land use where the Ship Recycling Facility is located and is operating.

2.3.3 BKI may require an environmental impact study from a Ship Recycling Facility in cases where BKI deems such a study necessary.

3. Method

BKI will review and evaluate the documents submitted per [D.1](#) and confirm whether the documented SRFP and other related systems are complying with the requirements prescribed in [Section 4](#) (here in after referred to as “Document Review”). After the document review has been completed, BKI will carry out onsite audits of the Ship Recycling Facility and confirm whether the documented SRFP and other related systems are in place and implemented properly (hereinafter referred to as “Site Inspection”).

4. Document Review

4.1 During the document review prescribed in [D.3](#), BKI is to ensure [1\)](#) and [2\)](#) below. When any non-conformities with the requirements prescribed in [Section 4](#) are found in the SRFP and related systems, BKI may require the Ship Recycling Facility to take appropriate corrective action.

- 1) The SRFP includes a policy, plans, systems and other items prescribed in [Section 4, B.2.3](#).
- 2) The contents of the SRFP and related documents comply with the requirements prescribed in [Section 4](#).

4.2 The SRFP is to be used as the main document for the document review prescribed in [D.3](#).

4.3 BKI may, when it deems necessary, conduct a preliminary visit to the ship recycling facility during the document review stage in order to better understand the actual situation, including such things as the scale and scope, general set-up, etc. of the Ship Recycling Facility or to assist in the preparation of an inspection plan in advance of the site inspection.

5. Site Inspection

5.1 General

5.1.1 Site inspections are to be conducted at the relevant Ship Recycling Facility..

5.1.2 Before, during and after a site inspection, any necessary information is to be provided to BKI by the Ship Recycling Facility when requested.

5.2 Purpose

The main purpose of the site inspection is to check the consistency of the documentation with the actual arrangements and operations of the Ship Recycling Facility.

5.3 Inspection Plan

5.3.1 BKI is responsible for making the site inspection plan, including the inspection method, schedule, etc. in advance in order to ensure more efficient and dependable audits.

5.3.2 The Ship Recycling Facility is to provide the work schedules for any scheduled projects to BKI to use for reference when making the site inspection plan. Since the purpose of the site inspection plan is to allow for more efficient and dependable audits of the complete ship recycling process in the Ship Recycling Facility, it is desirable that work schedules of two or more ship recycling projects are provided by the Ship Recycling Facility.

5.3.3 If the Ship Recycling Facility is under construction or not fully operational, the site inspection should be conducted as far as practicable, and BKI may issue the SoC subject to certain terms and conditions as appropriate. In such a case, an additional, follow-up site inspection should be conducted after the Ship Recycling Facility becomes fully operational. According to the results of the follow-up site inspection, BKI may suspend, amend or withdraw the SoC.

5.3.4 If the Ship Recycling Facility submits the supplementary documents, such as the guidance and reports from the competent authorities, local or national labour inspection services, third parties and entities, etc., BKI may use them for reference when making the site inspection plan.

5.3.5 BKI is to inform the Ship Recycling Facility of the site inspection and make available the corresponding inspection plan in advance in order to ensure the participation of all relevant persons in the inspection.

5.4 Safety

The Ship Recycling Facility is to consider all safety issues and take sufficient precautions and measures to prevent the occurrence of any accidents and incidents throughout the inspection, including the provision of any personal protective equipment or gear.

5.5 Inspection

BKI is to carry out the site inspection in the number of visits needed to investigate and confirm the items specified in 5.5.1 to 5.5.4 below throughout the complete ship recycling process.

5.5.1 The inspection is to address the functionality of arrangements established, focusing on safety and environmental protection and the handling of all materials including hazardous wastes and debris.

5.5.2 The inspection is to be conducted taking account of situations in which the Ship Recycling Facility is operating at maximum capacity with a full body of staff, including subcontractors.

5.5.3 The inspection is to verify that a SRFP exists and that it is being fully implemented. In particular, the following factors are to be verified:

- 1) the availability of the SRFP to all personnel at the ship recycling facility;
- 2) the knowledge of the SRFP, as appropriate, among management, competent persons and workers according to their designated tasks, roles and responsibilities, including those with special duties such as first-aid personnel and fire fighters; and
- 3) the implementation of the objectives of the SRFP, including the following operational procedures:
 - ship preparation processes;
 - monitoring of safe-for-entry and safe-for-hot-work conditions;
 - deconstruction processes;
 - hot work processes;
 - management of hazardous materials and wastes (protective measures and removal, transport, storage and disposal); and
 - emergency preparedness.

5.5.4 The purpose of the inspection is to identify procedures and routines for the following:

- the development and use of the ship recycling plan;
- the receipt of ships, taking into account relevant requirements and required certificates;
- the report and follow up of incidents; and
- the conduct of operations in a safe and environmentally sound manner in accordance with the regulations of the Convention.

5.6 Verification of Operational Limitations

The site inspection is to verify the availability, size, restrictions and general setup of the ship recycling facility as stated in the application. Any arrangements established for the purpose of facilitating the recycling process as well as any limitations related to the operation of the Ship Recycling Facility are to be described in the inspection record.

5.7 Management of Hazardous Materials and Wastes

5.7.1 All sites utilizing established procedures, methods, arrangements and facilities for the removal, storage, processing (incineration, reclamation and specific treatment), transport and disposal of hazardous materials and wastes are to be inspected.

5.7.2 The inspection is to verify that the Ship Recycling Facility is designed and constructed to manage any hazardous materials and wastes that are included in their application.

5.7.3 In cases where the Ship Recycling Facility is engaging one or more contractors by means of subcontracting for any activities related to the requirements of the Convention, the contractors are subject to the same verification as if the Ship Recycling Facility itself was undertaking the activities. The Ship Recycling Facility is responsible for providing BKI with information required to perform a verification on the aforementioned contractors as part of the overall assessment of the facility.

5.8 Assessment on Emergency Preparedness and Response

The inspection is to include a practical test for assessing the implementation of measures relating to emergency preparedness and response. This may involve an unannounced complete evacuation of the Ship Recycling Facility or a similar procedure described in the plans for emergency preparedness and response.

5.9 Notification of Results

BKI is to notify the Ship Recycling Facility of the result of the inspection in writing. When there are non-conformities for which corrective actions are to be taken by the Ship Recycling Facility, BKI is to consult with the Ship Recycling Facility and reach an agreement upon a time frame for which the corrective actions are to be taken.

E. Periodical Audit

1. Renewal Audit

1.1 At Renewal Audits, BKI is to review all aspects of the SRFP and related systems and verify that these are effectively implemented in accordance with the requirements prescribed in [Section 4](#).

1.2 Renewal Audits are, in principle, to be carried out in accordance with the provisions prescribed in **D** for Initial Audits with relevant changes made as needed. The SRFP and documentation for related systems, which are submitted together with the Renewal Audit application form, are to be revised accordingly in cases where any changes were made or corrective actions were taken by the Ship Recycling Facility since the previous audit.

2. Intermediate Audit

2.1 BKI is to carry out Intermediate Audits of Ship Recycling Facilities in order to verify that the SRFP and related systems are effectively implemented in accordance with the requirements prescribed in [Section 4](#).

2.2 Intermediate Audits are, in principle, to be carried out in accordance with the provisions prescribed in [1](#) with relevant changes made as needed. However, in principle, a document review is not to be carried out except when revisions were made to the SRFP or documentation for related systems or corrective actions were taken by the ship recycling facility since the previous audit. In such cases, revised documentation which accordingly reflects such changes or corrective actions is to be submitted to BKI.

F. Additional Audit

1. BKI is to conduct additional Audits with respect to the matters described in [C.4](#) in order to confirm that the SRFP and associated systems are effectively implemented in accordance with the requirements prescribed in [Section 4](#).

2. Additional Audits are, in principle, to be conducted in accordance with the provisions prescribed in [D](#) for Initial Audits with relevant changes made as needed. However, verification is, in principle, to be carried out with respect to the matters related to the reasons for the application. A document review is to be carried out if any revisions were made to the SRFP or documentation for associated systems, or corrective actions were taken by the Ship Recycling Facility since the previous audit. In such cases, revised documentation which accordingly reflects such changes or corrective actions is to be submitted to BKI.

G. Non-conformities

When BKI finds during site inspections any non-conformities with the requirements prescribed in [Section 4](#) or any deviations from the SRFP or documentation for related systems and specifies that corrective actions need to be taken in response, the Ship Recycling Facility is to take the indicated corrective actions without delay and undergo a follow-up audit to verify the result of the actions taken. BKI may, however, omit the follow-up site inspection when it is able to confirm that the corrective actions were appropriately taken through other means.

Section 3 Statement of Compliance (SoC)

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A. General

BKI is to issue a SoC for a Ship Recycling Facility provided that the facility is confirmed to satisfy the requirements for the facility. A detailed explanation of how the SoC is issued, valid, amended, suspended, withdrawn, and renewed is provided in this Section.

B. Issuance

1. The SoC issued by BKI confirms that the facility satisfies the requirements specified in [Section 4](#) as a result of audits carried out by BKI in accordance with the provisions specified in [Section 2](#).
2. The SoC is issued to the relevant Ship Recycling Facility on the basis of the submitted reports after completion of the document verification and site inspection.
3. The SoC shall clearly state the SRF name, site location, ownership company information and any limitations or restrictions imposed.

C. Validity

1. The validity period of the SoC is to be five (5) years from the date of completion of the Initial Audit or the Renewal Audit prescribed in [Section 2, D](#).
2. Notwithstanding the requirements set forth in [1](#). above, when a Renewal Audit is completed within a period three (3) months prior to the expiry date of the existing SoC, the new SoC is to be valid from the date of completion of the Renewal Audit for a period of five (5) years from the date of expiry of the existing SoC.
3. If a Ship Recycling Facility changes ownership, the new owner is to notify BKI accordingly in writing in a prompt and timely manner. The new owner is also to confirm in writing that it will fully comply with all requirements, including the SRFP and the Convention.

D. Amendment

1. BKI may amend the SoC as appropriate. The amendment may be initiated by BKI or the Ship Recycling Facility. BKI may require an additional audit as prescribed in [Section 2, F](#). to verify compliance with the requirements before it amends the SoC. The Ship Recycling Facility shall provide BKI with appropriate documentation and updates to the SRFP. Situations which may necessitate amendment of the SoC include, but are not limited to, the following:

- 1) the Ship Recycling Facility applies for the SoC amendment in order to widen the scope of authorization; for example, after having invested in the Facility and added new capabilities which should be reflected in the SoC;
- 2) the SoC amendment is triggered by compelling needs on the part of BKI; for example, when new domestic regulations are put into effect;
- 3) the SoC amendment is triggered by investigations conducted by BKI following accidents;
- 4) the SoC amendment is triggered by a deviation of practice at the Ship Recycling Facility from the SRFP, which thereby affect the contents of the SoC; and
- 5) the SoC amendment is triggered by a change in the hazardous materials which the Ship Recycling Facility can remove, store and process.

E. Maintenance

1. For maintenance of the SoC, the Periodical Audits and Additional Audits required in [Section 2](#) have to be performed.
2. BKI is to carry out a Renewal Audit of the ship recycling facility and reissue the SoC in cases where the Ship Recycling Facility has been verified as being effectively operated in compliance with the requirements in [Section 4](#).

F. Suspension

1. BKI may temporarily or indefinitely suspend the validity of the Statement of Compliance (SOC) or require corrective action by the Ship Recycling Facility depending on its subsequent level of compliance, if BKI has information demonstrating that the Ship Recycling Facility no longer satisfies the terms and conditions for the issuance of the SOC or the requirements prescribed in [Section 4](#). During any period of suspension, the ship recycling facility is not authorized to conduct recycling activities, except insofar as BKI has specified that the ship recycling facility should continue with certain activities that do not negatively affect the protection of human health or the environment.
2. BKI should suspend the SoC in cases where inspections, conducted as part of the audit, are restricted by the Ship Recycling Facility without justification.

G. Withdrawal

The SoC will be withdrawn if any one of the following cases is applicable:

- 1) BKI has information demonstrating that the Ship Recycling Facility no longer satisfies the terms and conditions of the SoC;
- 2) periodical or occasional audits prescribed in [Section 2](#) has not been completed;
- 3) the SoC is suspended and the Ship Recycling Facility has not taken any corrective action to address significant non-conformities;
- 4) corrective actions for non-conformities found during a Periodical Audit have not been taken by the Ship Recycling Facility within the time period designated by BKI;
- 5) the requirements of this Guidelines or the Convention, etc. have been amended, but the Ship Recycling Facility does not intend to or is unable to comply accordingly;
- 6) a major change in the SRFP or a related system may have a remarkable negative effect upon the ability of the Ship Recycling Facility to ensure proper ship recycling;
- 7) wilful acts or omissions are ascertained;

- 8) the Ship Recycling Facility management proposes to cancel the SoC; or
- 9) audit fees are not paid.

H. Document of Authorization to conduct Ship Recycling

The SoC issued by BKI will be converted to DASR when BKI has been assigned as a Recognized Organization by the Competent Authority.

I. Retention, Reinstatement, Reissuance or Return

1. Retention

The Ship Recycling Facility is to retain the SoC on file at the main office of the ship recycling facility and to present it when requested by BKI.

2. Reinstatement

2.1 The SoC will be reinstated if the cause of such suspension are removed by following the term of Additional Audit in [Section 2](#).

2.2 In case of SoC is withdrawn, BKI may reinstate the Ship Recycling Facility's compliance only after the ship recycling facility has submitted a new application to BKI demonstrating that the Ship Recycling Facility is in full compliance with requirements in [Section 4](#).

3. Reissuance

When the SoC is soiled or lost, the Ship Recycling Facility is to submit a written application and lost item report from police station for the reissuance of the SoC to obtain replacement thereof in due course.

4. Return

The ship recycling facility is to immediately return the old SoC to BKI if following conditions are met:

1. The lost SoC has been found after the new SoC has been reissued in accordance with [I.3](#);
2. SoC has been revised accordance with [D](#); or
3. SoC is withdrawn in accordance with [G](#).

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Section 4 Requirements for Obtaining a Statement of Compliance

A.	Scope	4-1
B.	Requirements	4-1

A. Scope

Any Ship Recycling Facility that intends to receive a SoC from the BKI is to comply with the requirements in B.

B. Requirements

Requirements of this section are based on Regulations 9 and 17 to 24 of the Convention.

1. General

1.1 The Ship Recycling Facility is to establish management systems, procedures, and techniques that do not pose health risks to the concerned workers or to the population in the vicinity of the Ship Recycling Facility and which will prevent, reduce, minimize, and eliminate any adverse effects on the environment caused by ship recycling.

1.2 For ships that comply with the Convention or ships treated similarly following Article 3.4 of the Convention, Ship Recycling Facilities is to:

- 1) only accepts ships that:
 - A) comply with the Convention; or
 - B) meets the requirements of the Convention;
- 2) only accept ships which they are authorized to recycle; and
- 3) has available SoC if such documentation is requested by a shipowner that is considering recycling a ship.

(HKC Regulation 17)

1.3 Prior to the Convention entering into force, the requirements prescribed in 1.2.1) and 1.2.2) above are not to be applied to the Ship Recycling Facility. However, the Ship Recycling Facility is to comply with the requirements prescribed in 1.2.1) and 1.2.2) above to the extent possible with respect to the aims of the Convention. However, all applicable national laws or restrictions of the country whose flag the ship is flying under or of the country where the Ship Recycling Facility is located are to be applied accordingly, even prior to the Convention entering into force.

2. Ship Recycling Facility Plan

2.1 The Ship Recycling Facility is to prepare a Ship Recycling Facility plan (SRFP).

2.2 The SRFP is to be adopted by the board or the appropriate governing body of the recycling company.

2.3 The SRFP, taking into account Guidelines¹, is to include:

- 1) a policy ensuring workers' safety and the protection of human health and the environment including the establishment of objectives that lead to the minimization and elimination to the extent practicable of the adverse effects on human health and the environment caused by ship recycling;
- 2) a system for ensuring implementation of the requirements set out in the Convention, the achievement of the goals set out in the policy of the recycling company, and the continuous improvement of the procedures and standards used in ship recycling operations;
- 3) identification of roles and responsibilities for employers and workers when conducting ship recycling operations;
- 4) a program for providing appropriate information and training of workers for the safe and environmentally sound operation of the Ship Recycling Facility;
- 5) an emergency preparedness and response plan;
- 6) a system for monitoring the performance of ship recycling;
- 7) a record-keeping system showing how ship recycling is carried out;
- 8) a system for reporting discharges, emissions, incidents, and accidents causing damage, or with the potential of causing damage, to workers' safety, human health, and the environment; and
- 9) a system for reporting occupational diseases, accidents, injuries, and other adverse effects on worker safety and human health.

(HKC Regulation 18)

3. Prevention of Adverse Effects to Human Health and the Environment

3.1 The Ship Recycling Facility, taking into account Guidelines¹, is to establish and utilize procedures to:

- 1) prevent explosions, fires, and other unsafe conditions by ensuring that safe-for-hot-work conditions and procedures are established, maintained, and monitored throughout ship recycling;
- 2) prevent harm from dangerous atmospheres and other unsafe conditions by ensuring that safe-for-entry conditions and procedures are established, maintained, and monitored in ship spaces, including confined spaces and enclosed spaces, throughout ship recycling;
- 3) prevent other accidents, occupational diseases, and injuries, or other adverse effects on human health and the environment; and
- 4) prevent spills or emissions throughout ship recycling which may cause harm to human health and/or the environment (special attention is to be paid to the items prescribed in Annex L of this Guidelines by Ship Recycling Facilities using plots on land-sea interface)

(HKC Regulation 19)

4. Safe and Environmentally Sound Management of Hazardous Materials

4.1 The Ship Recycling Facility is to ensure safe and environmentally sound removal of any hazardous material contained in a ship by referring to the "Inventory of Hazardous Materials" developed and examined in accordance with the requirements of the Convention and by taking into account Guidelines¹ developed by the IMO. The person(s) in charge of the recycling operations and the workers are to be familiar with the requirements of the Convention relevant to their tasks and, in particular, actively use the "Inventory of Hazardous Materials" and the ship recycling plan, prior to and during the removal of hazardous materials.

¹ Resolution MEPC.210(63) 2012 "Guidelines for Safe and Environmentally Sound Ship Recycling"

4.2 The Ship Recycling Facility is to ensure that all hazardous materials detailed in the ship's "Inventory of Hazardous Materials" are identified, labeled, packaged, and removed to the maximum extent possible prior to cutting by properly trained and equipped workers, taking into account Guidelines¹⁾ developed by the IMO, in particular:

- 1) hazardous liquids, residues, and sediments;
- 2) substances or objects containing heavy metals such as lead, mercury, cadmium, and hexavalent chromium;
- 3) paints and coatings that are highly flammable and/or lead to toxic releases;
- 4) asbestos and materials containing asbestos;
- 5) PCB and materials containing PCBs, ensuring that heat-inducing equipment is avoided during such operations;
- 6) CFCs and halons; and
- 7) other hazardous materials not listed above and that are not a part of the ship structure.

4.3 The Ship Recycling Facility is to provide for and ensure safe and environmentally sound management of all hazardous materials and wastes removed from the ship recycled at the Ship Recycling Facility. Waste management and disposal sites are to be identified to provide for the further safe and environmentally sound management of materials.

4.4 All wastes generated from the recycling activity are to be kept separate from recyclable materials and equipment, labeled, and stored in appropriate conditions that do not pose a risk to the workers, human health, or the environment and only transferred to a waste management facility authorized to deal with their treatment and disposal in a safe and environmentally sound manner.

(HKC Regulation 20)

4.5 The requirements related to the "Inventory of Hazardous Materials" in 4.1 above are not to be applied prior to the Convention entering into force. It is recommended that the Ship Recycling Facility examine the "Inventory of Hazardous Materials" or equivalent documents submitted by a shipowner in accordance with the requirements of the Convention.

4.6 In the absence of the "Inventory of Hazardous Materials" or equivalent documents, the Ship Recycling Facility cooperates with the shipowner to ensure the requirements in 4.2 above are satisfied by preparing documentation that includes sufficient data regarding the location and quantity of any hazardous materials contained within the ship.

5. Emergency Preparedness and Response

5.1 The Ship Recycling Facility is to establish and maintain an emergency preparedness and response plan. The plan is to be made in consideration of the location and environment of the Ship Recycling Facility and is to take into account the size and nature of the activities associated with each ship recycling operation.

5.2 The emergency preparedness and response plan described in 5.1 above is to be sufficient to accomplish the following:

- 1) ensuring that the necessary equipment and procedures to be followed in the case of an emergency are in place and that drills are conducted on a regular basis;
- 2) ensuring that necessary information, internal communication, and coordination are provided to protect all people and the environment in the event of an emergency at the Ship Recycling Facility;
- 3) providing for the communication with, and information to, the relevant competent authority(ies), the neighborhood, and emergency response services;

- 4) providing for first-aid and medical assistance, fire-fighting and evacuation of all people at the Ship Recycling Facility as well as pollution prevention; and
- 5) providing relevant information and training to all workers of the Ship Recycling Facility, at all levels and according to their competence, including regular exercises in emergency prevention, preparedness, and response procedures.

(HKC Regulation 21)

6. Worker Safety and Training

6.1 The Ship Recycling Facility is to provide for worker safety by measures including:

- 1) ensuring the availability, maintenance, and use of personal protective equipment and clothing needed for all ship recycling operations;
- 2) ensuring that training programs are provided to enable workers to safely undertake all ship recycling operations they are tasked to do; and
- 3) ensuring that all workers at the Ship Recycling Facility have been provided with appropriate training and familiarization prior to performing any ship recycling

6.2 The Ship Recycling Facility is to provide and ensure the use of personal protective equipment for operations requiring such use, including:

- 1) head protection;
- 2) face and eye protection;
- 3) hand and foot protection;
- 4) respiratory protective equipment;
- 5) hearing protection;
- 6) protectors against radioactive contamination;
- 7) protection from falls; and
- 8) appropriate clothing.

6.3 Taking into account the Guidelines¹⁾, the training programs set forth in 6.1.2) above are to be as follows:

- 1) covers all workers, including contractor personnel, and employees in the ship recycling facility;
- 2) be conducted by competent persons;
- 3) provides for initial and refresher training at appropriate intervals;
- 4) includes participant evaluations of their comprehension and retention of training;
- 5) be reviewed periodically and modified as necessary; and
- 6) be documented.

In addition, the Ship Recycling Facility may cooperate in providing for training of workers.

(HKC Regulation 22)

7. Reporting on Incidents, Accidents, Occupational Diseases and Chronic Effects

7.1 The Ship Recycling Facility is to report any incident, accident, occupational diseases, or chronic effects causing, or with the potential of causing, risks to workers safety, human health, and the environment to the competent authority(ies).

7.2 Reports prepared per **7.1** above are to contain a description of the incident, accident, occupational disease, or chronic effect, its cause, the response action is taken, and the consequences and corrective actions to be taken.

(HKC Regulation 23)

8. Initial Notification and Reporting

8.1 The Ship Recycling Facility, when preparing to receive a ship for recycling, is to notify in due time and in writing the competent authority(ies) of its intent to receive a ship for recycling.

8.2 The notification referred to in **8.1** above is to include at least the following ship details:

- 1) name of the state whose flag the ship is entitled to fly;
- 2) date on which the ship was registered with that state;
- 3) ship identification number (IMO number);
- 4) hull number on new-building delivery;
- 5) name and type of the ship;
- 6) port at which the ship is registered;
- 7) name and address of the shipowner as well as the IMO registered owner identification number;
- 8) name and address of the company as well as the IMO company identification number;
- 9) name of all classification society(ies) with which the ship is classed;
- 10) ship's main particulars (Length overall (LOA), Breadth (Moulded), Depth (Moulded), Lightweight, Gross and Net tonnage, and engine type and rating);
- 11) Inventory of Hazardous Materials; and
- 12) ship recycling plan (or draft ship recycling plan for approval if approval is required by the competent authority.)

8.3 Prior to the Convention entering into force, the requirements prescribed in **8.1** above are not to be applied to the Ship Recycling Facility. However, the Ship Recycling Facility is to be in compliance with the requirements prescribed in **8.1** above to the extent possible with respect to the aims of the Convention. However, all applicable national laws or restrictions of the country whose flag the ship is flying under or the country where the Ship Recycling Facility is located are to be applied accordingly, even prior to the Convention entering into force.

(HKC Regulation 24)

9. Ship Recycling Plan

9.1 A ship-specific ship recycling plan is to be developed, taking into account Guidelines¹ by the Ship Recycling Facility prior to any recycling of a ship.

¹ Resolution MEPC.196(62) 2011 "Guidelines for the Development of the Ship Recycling Plan"

9.2 The ship recycling plan prescribed in 9.1 above is to

- 1) be developed in consideration of information provided by the shipowner;
- 2) be developed in the language designated by the competent authority or in the working language of the Ship Recycling Facility if the language is not designated by the competent authority. If the language used is not English, the ship recycling plan is to be translated into English;
- 3) includes information concerning matters such as the establishment, maintenance, and monitoring of safe-for-entry and safe-for-hot work conditions and how the type and amount of materials including those identified in the Inventory of Hazardous Materials will be managed;
- 4) be approved by the competent authority authorizing the Ship Recycling Facility in accordance with the declaration deposited pursuant to Article 16.6 of the Convention;
- 5) be made available for inspection by the administration, or any nominated surveyors or organization recognized by it once approved in accordance with paragraph 4) above; and
- 6) identify Ship Recycling Facilities to be used and specify the recycling activities and the order in which they occur at each authorized Ship Recycling Facility in cases where more than one Ship Recycling Facility is used for recycling one ship.

9.3 Prior to the Convention entering into force, the requirements prescribed in 9.2.4) above are not to be applied to the Ship Recycling Facility. However, all applicable national laws or restrictions of the country whose flag the ship is flying under or the country where the Ship Recycling Facility is located are to be applied accordingly, even prior to the Convention entering into force.

(HKC Regulation 9)

Annex A Application Form (Standard Form)

APPLICATION FORM for Issue of Statement of Compliance for the ship recycling facilities

To: PT Biro Klasifikasi Indonesia

Date: _____

Company: _____

Full address: _____

Phone no. : _____ Fax no. : _____ E-mail address: _____

We acknowledge the provisions of "REGULATIONS FOR TECHNICAL SERVICES" of BIRO KLASIFIKASI INDONESIA (BKI) and hereby apply for the ship recycling facility below to issue of Statement of Compliance for ship recycling facilities whose operations and procedures are in place in accordance with IMO Resolution MEPC.210(63)"2012 GUIDELINES FOR SAFE AND ENVIRONMENTALLY SOUND SHIP RECYCLING" based on Guidelines for the Ship Recycling Facilities (Pt.1, Vol.13).

Facility name:	
Registered address:	
Facility address:	
Representative and communication address:	

Hereby we attach the **Ship Recycling Facilities Plan (SRFP)**¹ based on the requirements of Guidelines for Ship Recycling Facilities (Pt.1, Vol.13), Section 4.

We have read and accepted the terms and condition Services of Biro Klasifikasi Indonesia (Persero).

We guarantee and declare that all data and documents submitted are true and can be proven to be authentic.

We agree to pay all survey fees and expenses incurred in above-mention services whether our services are acceptable or not.

Applicant: _____

¹ For the requirements are specified in [Section 4](#). The recommended format of SRFP to refer to [Annex B](#) and [C](#).

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Annex B Supplements to the Application (Standard Form)

Document requirement check list as below:

PART 1 Identification of the ship recycling facility
PART 2 Additional information
PART 3 Identification of the permit, license and authorisation granted by the competent authority/-ies to conduct ship recycling
PART 4 Capability and limitations of the ship recycling facility
PART 5 Statement concerning the recycling of ships flying the flag of the countries which control to start the sip recycling according to the national legislation
PART 6 Statement concerning waste recovery and disposal operations
PART 7 Ship Recycling Facility Plan
PART 8 Safe-for-hot work and Safe-for-entry criteria

PART 1 Identification of the ship recycling facility

Name of Ship Recycling Facility Distinctive Recycling Company identity No. Full address of Ship Recycling Facility Primary contact person Phone number Email address Name, address, and contact information of ownership company Working language

Name of ship recycling facility	
Distinctive Recycling Company identity No.	
Full address of ship recycling facility	
Primary contact person	
Phone number	
Email address	
Name, address, and contact information of ownership company	
Working language	

PART 2
Additional information

Method(s) of recycling ¹	
Type(s) of ships that can be recycled	
Procedure for approval of the ship recycling plan ²	
Number of employees ³	
Maximum ship recycling output achieved on a given year in the past 10 years (in LDT) ⁴	
Maximum ship recycling output achieved on a given year in the past 10 years (in LDT) ⁴	
Description of the ship recycling facility (layout, waterdepth, accessibility, etc.)	
<p>¹ See e.g. paragraph 3 in Section 3.4.1 of IMO guidelines, Resolution MEPC.210(63), page 24.</p> <p>² Please indicate whether the ship recycling plan will be approved by the competent authority through a tacit or explicit procedure, specifying the review period relating to tacit approval, in accordance with national requirements, where applicable;</p> <p>³ At the time of application.</p> <p>⁴ The figure should be documented, e.g. via official confirmations of completion of recycling of ships recycled that year, indicating LDT of the ships. The figure is calculated as 'the sum of the weight of ships expressed in LDT that have been recycled in a given year in that facility. The maximum annual ship recycling output is determined by selecting the highest value occurring in the preceding 10-year period for each ship recycling facility, or, in the case of a newly authorised ship recycling facility, the highest annual value achieved at that facility'.</p>	

Heavy equipment	
Heavy-lifting Machines	e.g. Jib crane: 60 tonnes e.g. Mobile crane: 35 tonnes × 1, 27 tonnes × 1
	e.g. Hydraulic backhoe: SH400, ZX330, SK220, ZX200 with Shear, Magnet e.g. Hydraulic shear: 600 tonnes × 1
	e.g. Weight bridge: 50 tonnes
Boat	e.g. Gross tonnage: 5 tonnes, Power: 240 HP
Shear	e.g. Capacity: 600 tonnes

Other equipment	
O ₂ supply	e.g. Liquid O ₂ supply system: 10 m ³
Gas supply	e.g. LPG bottles
Compressed air	
Fire extinguishers	e.g. Portable fire extinguisher capacity
Waste oil treatment	Oil water separation tank Tank capacity: abt. 20 tonnes
Wastes storage	e.g. Container for asbestos: 2
Incinerator(s)	e.g. none
Electric power supply	e.g. Substation

Location of the facility ¹	
Division and classification of the location	e.g. urbanisation control area
Area of the facility (in sqm)	
Area of pavement	
Peripheral environment	e.g. factories: former quarry, two marinas in the vicinity, vulnerable environmental zones
	e.g. Housing: private houses at the entrance and 200 m from entrance

¹ A map of the boundary of the ship recycling facility and the location of Ship Recycling operations within it is attached.

Workers' certificates/licences ¹	
Certificate/licence	Number of personnel/qualifications ²
1) Manager of asbestos handling	
2) Manager of PCB handling	
3) Designated chemicals handling	
4) Asbestos handling class	
(5) Gas cutting	
6) Welding	
7) Zinc handling	
8) Lifting	
9) Heavy lift machines	
10) Seafarer	
11) Diver	
12) Removal of Hazardous Materials	
(Material A)	
(Material B)	
(Material C)	
(Material D)	
(Material E)	
(Material F)	
(Material G)	
(Material H)	
(Material I)	
(Material J)	
(Material K)	

¹ Please note that it is only necessary to fill in corresponding lines in the table with regard to those hazardous materials the ship recycling facility is authorised to remove.

² Please note that the ship recycling company must at all times be in a position to provide evidence of the competence of each member of personnel authorised to carry out the removal of hazardous materials to Biro Klasifikasi Indonesia (BKI).

PART 3

Identification of the permit, license and authorisation granted by the competent authority/-ies to conduct ship recycling

The ship recycling company shall provide a copy of the document(s) issued by its competent authorities to conduct the ship recycling¹ and, where relevant, the permit, license or authorisation granted by the competent authorities to all its contractors and sub-contractors directly involved in the process of ship recycling.

¹If the respective competent authority/-ies does/do not issue a specific permit, license or authorisation to conduct ship recycling, the applicant shall clearly state this in his application and submit other relevant permits, licenses or authorisations relating to the activities of the company.

Permit, license or authorisation document(s) attached to the application file²:

Name of the document	Country of issuance	Issuing Competent Authority	Issued on (date)	Valid until (date or indefinite)	Beneficiary entity ¹

¹ Name of the ship recycling company and/or its contractor/sub-contractor concerned by the document.

PART 4 Capability and limitations of the ship recycling facility

4.1. Ship recycling capacity

The ship recycling facility is authorised to accept a ship for recycling subject to the following size limitations:

Maximum capacity of ship to be recycled	Other limitations
DWT	
GT	
LDT	
Length	
Breadth	
Width	
Depth	

4.2. Safe and environmentally sound management of hazardous materials.

The ship recycling facility is authorised to accept a ship for recycling that contains hazardous materials as specified in the following table subject to the conditions noted below:

²Please list in the table and attach a copy of all permits, license or authorisations granted by the competent authorities

Management of hazardous materials ¹	Descriptions of the management steps ²
1) Asbestos	Removal Storage Waste treatment
2) Ozone-depleting substances	Removal Storage Waste treatment
Heavy metals: 3) Tinorganic anti-fouling compounds and system 4) Cadmium and Cadmium Compounds 5) Hexavalent Chromium and Hexavalent Chromium Compounds 6) Lead and Lead Compounds 7) Mercury and Mercury Compounds	Removal Storage Waste treatment
Flame retardants: 8) Polybrominated Diphenyl Ethers (PBDEs) 9) Hexabromocyclododecane (HBCDD) 10) Polybrominated Biphenyl (PBBs)	Removal Storage Waste treatment
11) Radioactive substances	Removal Storage Waste treatment
Other Persistent Organic Pollutants (POPs) 12) Polychlorinated biphenyls (PCB) 13) Perfluorooctane sulfonic acid (PFOS) 14) Polychlorinated Napthalenes (more than 3 chlorine atoms) 15) Certain Short-Chain Chlorinated Paraffins (SCCP) (Alkanes, C10-C13, chloro)	Removal Storage Waste treatment
16) Hazardous liquids, residues and sediments	Removal Storage Waste treatment
17) Paints and coatings that are highly flammable and/or lead to toxic release	Removal Storage Waste treatment
18) Other Hazardous Materials not listed above and that are not part of the ship structure (specify)	Removal Storage Waste treatment

¹ For the management of each item, the national and/or international requirements should be identified for reference. Any limitations imposed under the authorisation granted by the competent authority/-ies of the country where the facility is located should be mentioned. The hazardous materials may be present in parts of the ship or equipment (e.g. in paint or as plastic additives) or in chemical mixtures (e.g. cooling fluids).

² Please 1) indicate which management process will be applied, 2) indicate the location where the activity takes place (either within the facility or at a downstream waste management facility — in the latter case, information should also be provided, including the facility name and contact information) and 3) provide evidence that the applied process will be carried out without endangering human health and in an environmentally sound manner.

PART 5

Statement concerning the recycling of ships flying the flag of the countries which control to start the ship recycling according to the national legislation.

ACCEPTANCE OF SHIPS TO BE CONTOLED BY THE COUNTRIES

Hereby, (name)
., on behalf of
.(company)
. . (hereafter 'the company')³ confirms that the company will accept ships for recycling only in accordance with the requirements laid out in the relevant international or national rule, where the rules are applicable to the ship recycling yard. Furthermore, the company will:

- 1) prior to any recycling of the ship:
 - send the ship recycling plan, approved by the competent authority according to the procedure applicable ⁴, to the ship owner and the administration or a recognised organisation authorised by it, if applicable;
 - report to the administration that the ship recycling facility is ready in every respect to start the recycling of the ship, if applicable;
- 2) when the total or partial recycling of a ship is completed in accordance with this Regulation, send a statement of completion to the administration which issued the ready for recycling certificate for the ship if applicable. The statement of completion will include a report on incidents and accidents damaging human health and/or the environment, if any.

.
Place
Date

Signature:

PART 6

Statement concerning waste recovery and disposal operations

WASTE RECOVERY AND DISPOSAL OPERATIONS

The 2009 Hong Kong International Convention for the Safe and Environmentally Sound Recycling of Ships aims to prevent, reduce, minimise and, to the extent practicable, eliminate accidents, injuries and other adverse effects on human health and the environment caused by ship recycling. Regulation 20.4 of the annex to the Convention requires that all wastes generated from the recycling activity shall be kept separate from recyclable materials and equipment, labelled, stored in appropriate conditions that do not pose a risk to the workers, human health or the environment and only transferred to a waste management facility authorized to deal with their treatment and disposal in a safe and environmentally sound manner.

Hereby, (name), on behalf of(company) (hereafter 'the company')⁵ confirms to the best of its knowledge that ;

³ Name of the ship recycling company.
⁴ The procedure is described in Article 7(3) of the Ship Recycling Regulation
⁵ Name of the ship recycling company

- 1) the waste management facility or facilities receiving the waste from the ship recycling facility is (are) authorised by its competent national authorities to deal with the waste it receives;
- 2) the final waste-management facility or facilities adhere(s) to national standards and requirements which should take into account applicable international standards and requirements.; Along with this statement, the company provides a copy of all relevant documents obtained by the waste management facility or facilities (see Part 2).

Place

Date

Signature:

PART 7
Ship Recycling Facility Plan
SHIP RECYCLING FACILITY PLAN

As per Regulation 18 of the annex to the Hong Kong Convention, the ship recycling company is required to confirm that it has adopted a ship recycling facility plan, taking into account the relevant IMO guidelines.

I(name)
 . . . , declare that a Ship Recycling Facility Plan was adopted by (company)
⁶. A copy of the Ship Recycling Facility Plan is attached to the application file.

Place

Date

Signature:

PART 8
Safe-for-hot work and Safe-for-entry criteria

As per Regulation 19.1 and 19.2 of the annex to the Hong Kong Convention, the ship recycling company provides evidence that the ship recycling facility is capable of establishing, maintaining and monitoring of the safe-for-hot work and safe-for-entry criteria throughout the ship recycling process.

	Evidence attached to the application file ¹
Safe-for-hot work	
Safe-for-entry conditions	
¹ Refer to the relevant extracts of the Ship Recycling Facility Plan attached to this application.	

⁶Name of the ship recycling company.

Annex C Recommended Format of the Ship Recycling Facility Plan

- 1 Facility management
 - 1.1 Company information
 - 1.2 Training programme
 - 1.3 Worker management
 - 1.4 Records management
- 2 Facility operation
 - 2.1 Facility information¹
 - 2.2 Permits, licences and certification
 - 2.3 Acceptability of ships
 - 2.4 Ship Recycling Plan (SRP) development
 - 2.5 Vessel arrival management
 - 2.6 Ship recycling methodology
 - 2.7 Reporting upon completion
- 3 Worker safety and health compliance approach
 - 3.1 Worker health and safety
 - 3.2 Key safety and health personnel
 - 3.3 Job hazard assessment
 - 3.4 Prevention of adverse effects to human health
 - 3.4.1 Safe-for-entry procedures
 - 3.4.1.1 Safe-for-entry criteria
 - 3.4.1.2 Competent person for Safe-for-entry determination
 - 3.4.1.3 Safe-for-entry inspection and testing procedures
 - 3.4.1.4 Oxygen
 - 3.4.1.5 Flammable atmospheres
 - 3.4.1.6 Toxic, corrosive, irritant or fumigated atmospheres and residues
 - 3.4.1.7 Safe-for-entry determination by a Competent person
 - 3.4.1.8 Safe-for-entry certificate, warning signs and labels
 - 3.4.1.9 Safe-for-entry operational measures
 - 3.4.2 Safe-for-hot-work procedures
 - 3.4.2.1 Safe-for-hot-work criteria
 - 3.4.2.2 Competent person for Safe-for-hot-work determination
 - 3.4.2.3 Safe-for-hot-work inspection, testing and determination
 - 3.4.2.4 Safe-for-hot-work certificate, warning signs and labels
 - 3.4.2.5 Safe-for-hot-work operational measures
 - 3.4.3 Welding, cutting, grinding and heating
 - 3.4.4 Drums, containers and pressure vessels
 - 3.4.5 Prevention of falling from heights and accidents caused by falling objects
 - 3.4.6 Gear and equipment for rigging and materials handling
 - 3.4.7 Housekeeping and illumination

¹See [Annex D](#)

- 3.4.8 Maintenance and decontamination of tools and equipment
- 3.4.9 Health and sanitation
- 3.4.10 Personal protective equipment
- 3.4.11 Worker exposure and medical monitoring
- 3.5 Emergency preparedness and response plan
- 3.6 Fire and explosion prevention, detection and response
- 4 Environmental compliance approach
 - 4.1 Environmental monitoring
 - 4.2 Management of Hazardous Materials
 - 4.2.1 Potentially containing Hazardous Materials
 - 4.2.2 Additional sampling and analysis
 - 4.2.3 Identification, marking and labelling and potential on-board locations
 - 4.2.4 Removal, handling and remediation
 - 4.2.5 Storage and labelling after removal
 - 4.2.6 Treatment, transportation and disposal
 - 4.3 Environmentally sound management of Hazardous Materials
 - 4.3.1 Asbestos and materials containing asbestos
 - 4.3.2 PCBs and materials containing PCBs
 - 4.3.3 Ozone-depleting substances (ODSs)
 - 4.3.4 Paints and coatings
 - 4.3.4.1 Anti-fouling compounds and systems (organotin compounds including tributyltin (TBT))
 - 4.3.4.2 Toxic and highly flammable paints
 - 4.3.5 Hazardous liquids, residues and sediments (such as oils, bilge, and ballast water)
 - 4.3.6 Heavy metals (lead, mercury, cadmium and hexavalent chromium)
 - 4.3.7 Other Hazardous Materials
 - 4.4 Prevention of adverse effects to the environment
 - 4.4.1 Spill prevention, control and countermeasures
 - 4.4.2 Storm-water pollution prevention
 - 4.4.3 Debris prevention and control
 - 4.4.4 Incident and spills reporting procedures

Plan Attachments

Facility Map

Organizational Flow Chart

Permits, Licences and Certification Resumes

Annex D Example Format of Facility information in SRFP

Facility name and contact information			
Facility name			
Registered address			
Facility address			
Representative and communication address			
Number of employees			
Tel. No.		Fax No.	
E-mail address		URL	
Working language			

Capacity of Facility	
Maximum capacity of ship to be recycled	DWT
	GT
	LDT
	Length
	Breadth
	Width
Depth	
Types of ship to be accepted	
Annual recycling capacity (in LDT)	

Waste management capacity	
Asbestos	removal storage process
Ozone-depleting substances	removal storage process
Polychlorinated biphenyls (PCB)	removal storage process
Anti-fouling compounds and system	removal storage process
Cadmium and Cadmium Compounds	removal storage process

Hexavalent Chromium and Hexavalent Chromium Compounds	removal storage process
Lead and Lead Compounds	removal storage process
Mercury and Mercury Compounds	removal storage treatment process
Polybrominated Biphenyl (PBBs)	removal storage treatment process
Polybrominated Diphenyl Ethers (PBDEs)	removal storage treatment process
Polychlorinated Naphthalenes (more than 3 chlorine atoms)	removal storage treatment process
Radioactive substances removal	removal storage treatment process
Certain Shortchain Chlorinated Paraffins (Alkanes, C10-C13, chloro)	removal storage treatment process
Hazardous liquids, residues and sediments	removal storage treatment process
Paints and coatings that are highly flammable and/or lead to toxic release	removal storage treatment process
Other Hazardous Materials not listed above and that are not a part of the ship structure (specify)	removal storage treatment process

Facility equipment and other information	
Area of Facility (m ²)	Area of pavement (m ²)
Description of ship recycling facility (layout, waterdepth, accessibility, etc.)	
Registered address	e.g. Jib crane: 60 tons
	Mobile crane: 35 tons×1, 27 tons×1
	Hydraulic backhoe: SH400, ZX330, SK220, ZX200 With Shear, Magnet
	Hydraulic shear: 600 tons×1
Weight bridge: 50 tons	
Boat	e.g. Gross tonnage: 5 tons, Power: 240 PS
Shear	e.g. Capacity: 600 tons
O2 supply	e.g. Liquid O2 supply system: 10 m3
Gas supply	e.g. LPG bottles
Compressed air	
Fire extinguisher	e.g. Portable fire extinguisher
Waste oil treatment	e.g. Gross tonnage: 5 tons, Power: 240 PS
Wastes storage	e.g. Oil water separation tank Tank capacity: abt. 20 tons
Incinerator	e.g. none
Electric power supply	e.g. Substation

Location	
Division and classification of the location	e.g. urbanization control area
Peripheral environment	e.g. factories: former quarry, two marinas in the vicinity
	Housing: private houses at the entrance and 200 m from entrance

Facility certificate and licence (if applicable specify: certifying authority; date of expiry; number of certificate; etc.)¹	
¹ List here any applicable certificates, for example, relevant to waste treatment, waste transportation, or others, such as certificates relevant to management systems of environmental performance, and/or occupational health and safety.	

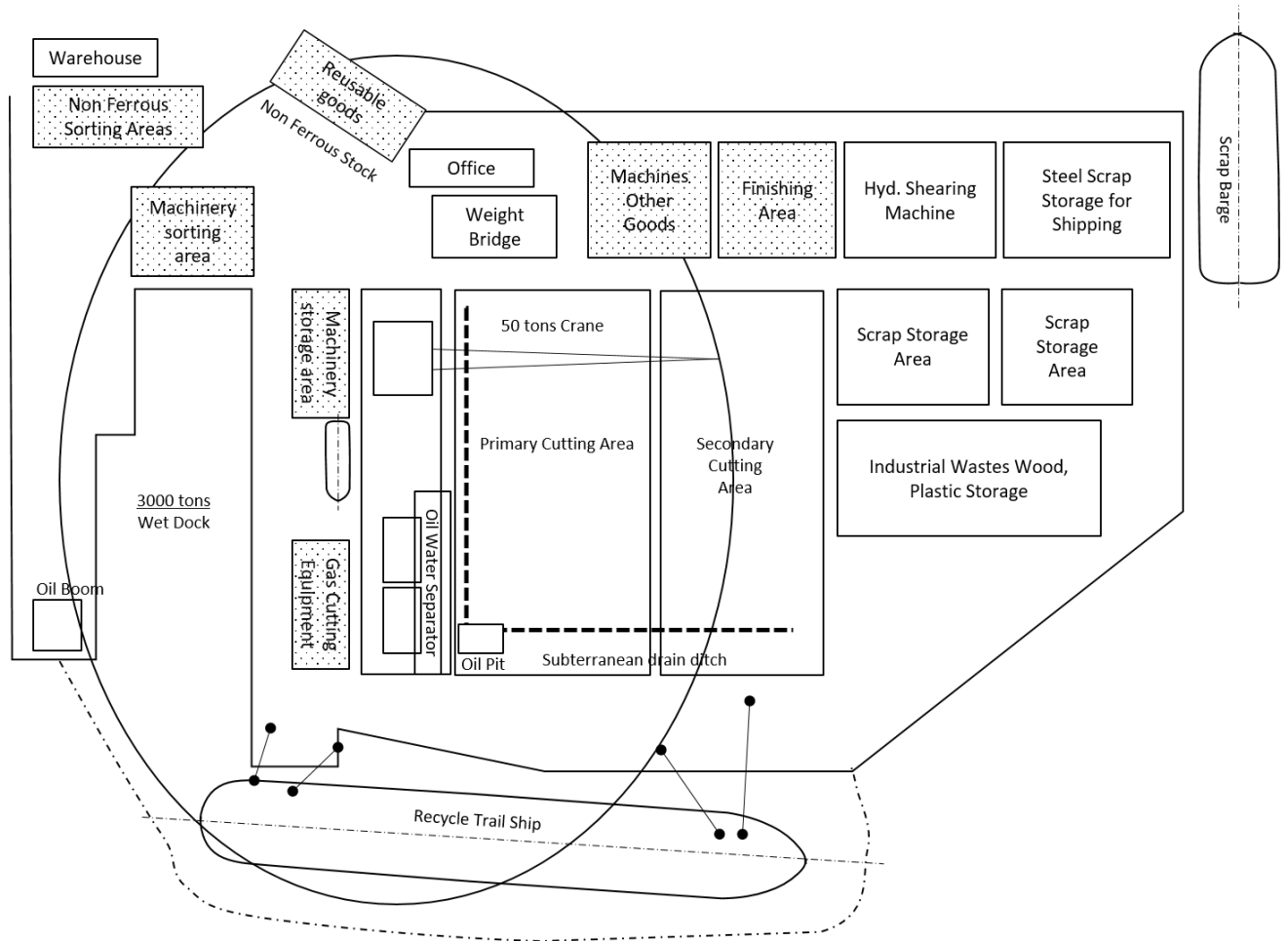
Workers' certificates/licences	
Certificate/licence	Name
1) Manager of asbestos handling	Mr. Yxxxx ***** 1 person
2) Manager of PCB handling	Mr. Yxxxx ***** 1 person
3) Designated chemicals handling	None
4) Asbestos handling class	Mr. *****
	Mr. *****
	Mr. ***** 3 persons
5) Gas cutting	Mr. *****
	Mr. *****
	Mr. ***** 3 persons
6) Welding	Mr. ***** 1 person
7) Zinc handling	Mr. ***** 1 person
8) Lifting	Mr. *****
	Mr. *****
	Mr. ***** 3 persons
9) Heavy lift machines	Mr. *****
	Mr. ***** 2 persons
10) Seafarer	Mr. ***** 1 person
11) Diver	None
12) Removal of Hazardous Materials (Material A)	Mr. ***** 2 persons
Materials (Material B)	Mr. ***** 2 persons

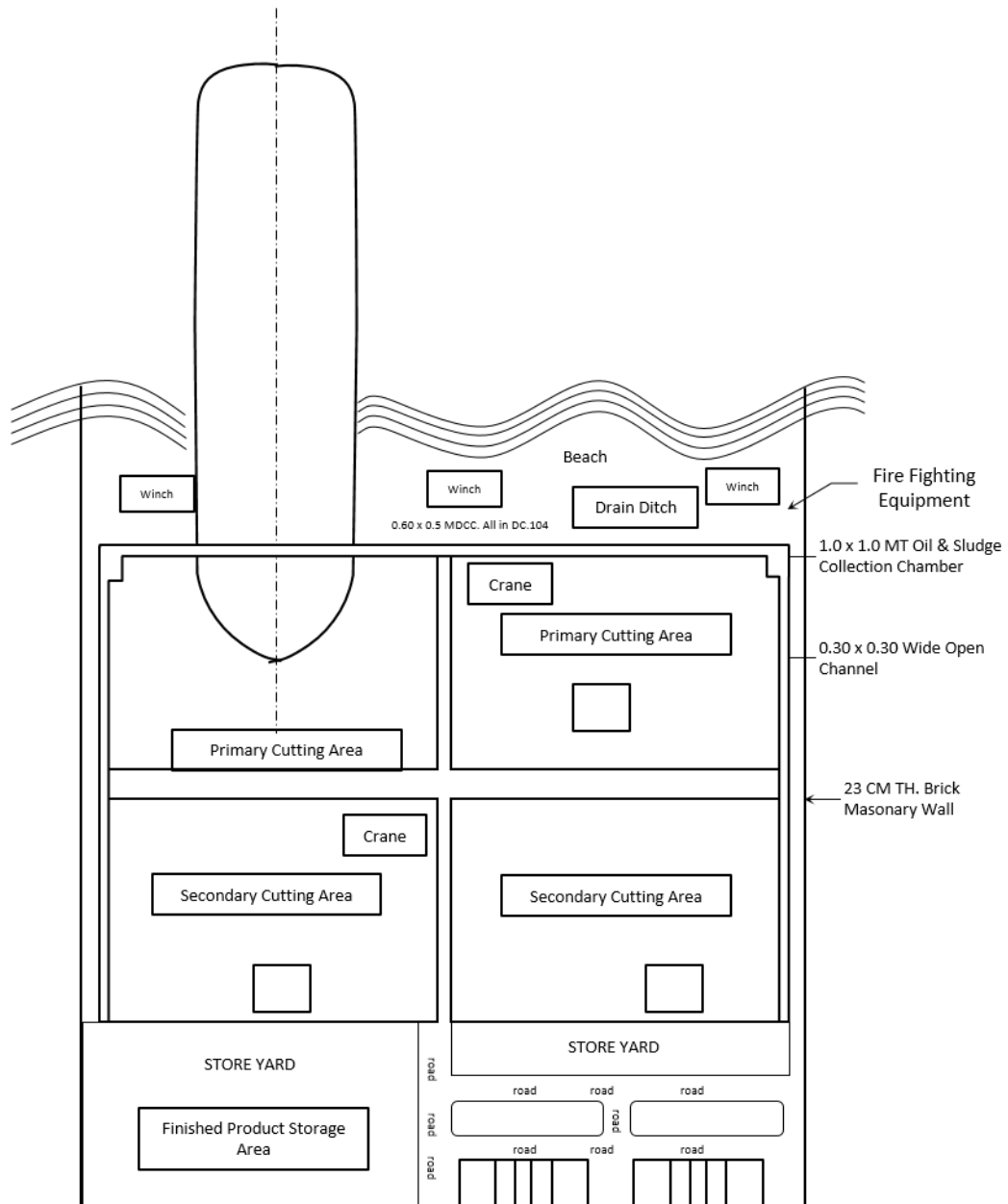
Subcontractor information ¹			
Subcontractor name			
Registered address			
Representative and communication address			
Field of services			
Licences for services			
Number of employees			
Tel. No.		Fax No.	
E-mail address		URL	
¹ Supply all pertinent information relevant to the services of the subcontractor to the ship recycling facility.			

Location Map

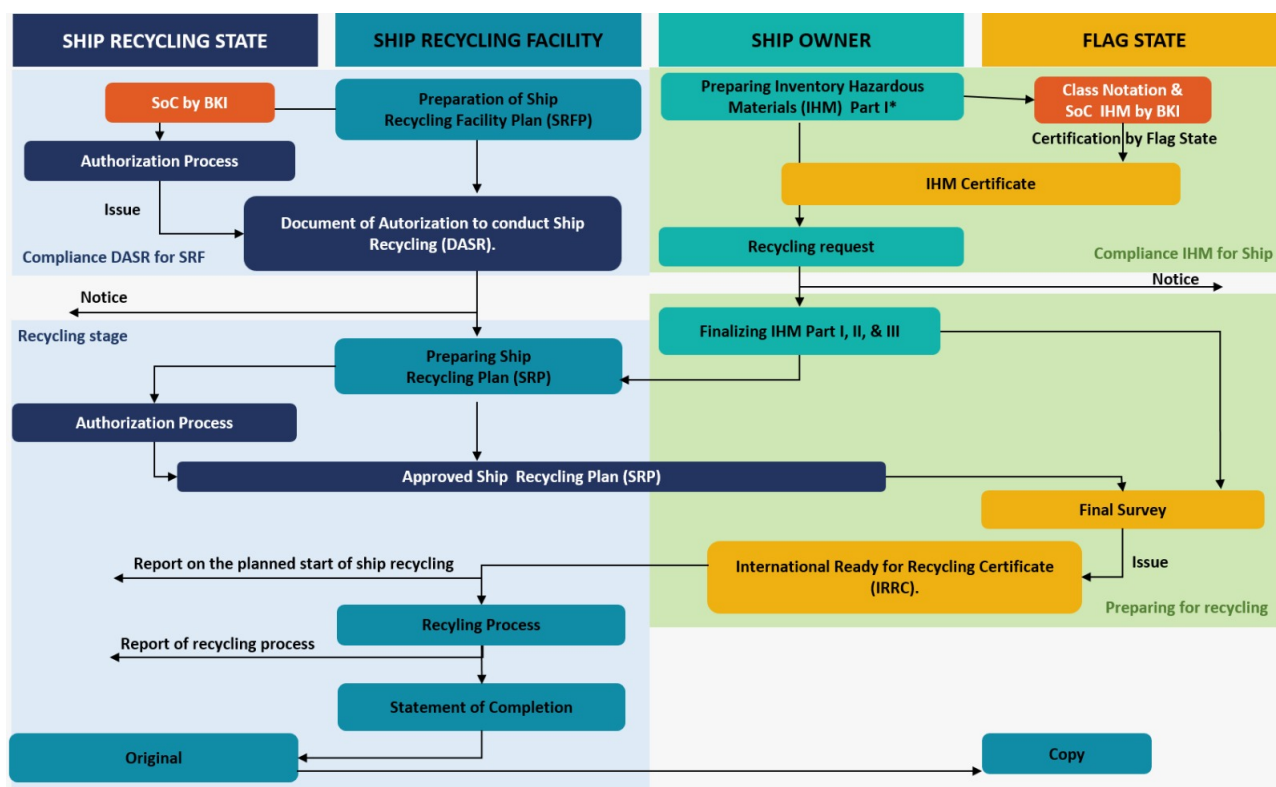
Yard plan (examples)

Yard plan should be included in Facility information.





Annex E Ship Recycling Process From Preparation to Completion



Responsibility of stakeholders as described in the convention			
Ship recycling state	Ship recycling facility	Ship owner	Flag state
- Authorize of the Ship Recycling Facilities (Regulation 16)	- Prepare an SRFP (Regulation 18)	- Have on board an Inventory of Hazardous Materials	- Verify Inventory of Hazardous Materials, SRP and DASR (Regulation 10)
- Approve of SRP (Regulation 9)	- Develop a ship-specific SRP (Regulation 9)	- Finalize Inventory of Hazardous Materials including Parts II & III (Regulation 5)	- Issue International Ready for Recycling Certificate (IRRC) (Regulation 11)
- Send a copy of the Statement of Completion to the flag State (Regulation 25)	- Notify its Competent Authority of the intent	- Provide the information with the SRF (Regulation 8)	
	- Report to its Competent Authority the planned start of Ship Recycling (Regulation 24)		
	- Issue a statement of Completion and report to its Competent Authority (Regulation 25)		

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Annex F Additional Information for Controls of Hazardous Materials

Hazardous Material	Definitions	Control measures
Asbestos	Materials containing asbestos	For all ships, new installation of materials which contain asbestos shall be prohibited
Ozone-depleting substances	<p>Ozone-depleting substances means controlled substances defined in paragraph 4 of article 1 of the Montreal Protocol on Substances that Deplete the Ozone Layer, 1987, listed in Annexes A,B,C or E to the said Protocol in force at the time of application or interpretation of this Annex.</p> <p>Ozone-depleting substances that may be found on board ship include, but are not limited to:</p> <p>Halon 1211 Bromochlorodifluoromethane</p> <p>Halon 1301 Bromotrifluoromethane</p> <p>Halon 2402 1,2-Dibromo - 1,1,2,2 tetrafluoroethane (also known as Halon 114B2)</p> <p>CFC-11 Trichlorofluoromethane</p> <p>CFC-12 Dichlorodifluoromethane</p> <p>CFC-113 1,1,2-Trichloro - 1,2,2 trifluoroethane</p> <p>CFC-114 1,2-Dichloro- 1,1,2,2tetrafluoroethane</p> <p>CFC-115 Chloropentafluoroethane</p>	New installations which contain ozone-depleting substances shall be prohibited on all ships, except that new installations containing hydrochlorofluorocarbons (HCFCs) are permitted until 1 January 2020.
Polychlorinated biphenyls (PCB)	"Polychlorinated biphenyls" means aromatic compounds formed in such a manner that the hydrogen atoms on the biphenyl molecule (two benzene rings bonded together by a single carbon-carbon bond) may be replaced by up to ten chlorine atoms	For all ships, new installation of materials which contain Polychlorinated biphenyls shall be prohibited.

Hazardous Material	Definitions	Control measures
Anti-fouling compounds and systems	Anti-fouling compounds and systems regulated under Annex I to the International Convention on the Control of Harmful Anti-fouling Systems on Ships, 2001 (AFS Convention) in force at the time of application or interpretation of this Annex.	<ol style="list-style-type: none"> 1. No ship may apply anti-fouling systems containing organotin compounds as a biocide or any other anti-fouling system whose application or use is prohibited by the AFS Convention. 2. No new ships or new installations on ships shall apply or employ anti-fouling compounds or systems in a manner inconsistent with the AFS Convention. 3. No new ships or new installations on ships shall apply or employ anti-fouling systems containing cybutrine in a manner inconsistent with the AFS Convention.

Annex G Additional Information for Minimum List of Items for the Inventory of Hazardous Materials

Any Hazardous Materials listed in Annex H
Cadmium and Cadmium Compounds
Hexavalent Chromium and Hexavalent Chromium Compounds
Lead and Lead Compounds
Mercury and Mercury Compounds
Polybrominated Biphenyl (PBBs)
Polybrominated Diphenyl Ethers (PBDEs)
Polychlorinated Naphthalenes (more than 3 chlorine atoms)
Radioactive Substances
Certain Shortchain Chlorinated Paraffins (Alkanes, C10-C13, chloro)

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Annex G Additional Information for Minimum List of Items for the Inventory of Hazardous Materials

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Annex H Materials Found on Board Ships That the Ship Recycling Facility Should Be Prepared to Handle (Included in Part III of the Inventory of Hazardous Materials)

Kerosene
White spirit
Lubricating oil
Hydraulic oil
Anti-seize compounds
Fuel additive
Engine coolant additives
Antifreeze fluids
Boiler and feed water treatment and test reagents
Deionizer-regenerating chemicals
Evaporator dosing and descaling acids
Paint stabilizers/rust stabilizers
Solvents/thinners
Paints
Chemical refrigerants
Battery electrolyte
Alcohol/methylated spirits
Acetylene
Propane
Butane
Oxygen
Carbon dioxide
Perfluorocarbons (PFCs)
Methane
Hydrofluorocarbons (HFCs)
Nitrous oxide (N₂O)
Sulfur hexafluoride (SF₆)
Bunkers, e.g. fuel oil
Grease
Fuel gas
Batteries (including lead-acid batteries)
Pesticides/insecticide sprays
Extinguishers
Chemical cleaner (including electrical equipment cleaner, carbon remover)
Detergent/bleacher (potentially a liquid)
Miscellaneous medicines
Fire-fighting clothing and personal protective equipment
Spare parts containing Hazardous Materials

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Annex H Materials Found on Board Ships That the Ship Recycling Facility Should Be Prepared ...

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