Green Award Foundation
P.O. Box 23107
3001 KC Rotterdam
The Netherlands
www.greenaward.org

**Date: 1 September 2014**

## AMENDMENTS TO

# Seacure for Operations 2011

As approved by the Committee and the Board of Experts during their 47th and 34th meetings respectively held in 2013, the following amendments are made to the Seacure for Operations 2011 on top of the amendments made in 2012 and in 2013. A consolidated full version is expected to be launched in 2015.

Amendments in short:

- Container carrier programme start date
- Threshold for Container carriers
- Inclusion of Container carrier requirements

## AMENDMENT 1: SEACURE FOR OPERATIONS 2011

*Page 9, Table 5.2*

Updated threshold for Container carrier:

> **Container carrier**
>
> ≥ 5,000 ton DWT

*Page 9*

Amend the launch dates of Container carrier programme:

> The Container carrier certification programme will be launched on 1 September 2014.

## AMENDMENT 2: ANNEX 1 CATEGORIES OF SHIPS TO WHICH THE GREEN AWARD REGULATIONS APPLY

*Page 28*

Amend the threshold for Container carrier:

> **CONTAINER CARRIER from** 5,000 ton dwt and above
>
> Definition of container carrier*:*
>
> A ship constructed for the carriage of standard-sized containers only.

## AMENDMENT 3: ANNEX 3 GREEN AWARD REQUIREMENTS

The latest requirements applicable to the Green Award certified ships have been updated. The latest editions are as listed below.

Ship types and latest versions. The certification requirements for Container carrier are the only modifications to this addendum.

| | |
|---|---|
| 3a | Green Award Requirements for Oil tanker (Version 2013) |
| 3b | Green Award Requirements for Bulk carrier (Version 2013) |
| 3c | Green Award Requirements for LNG carrier (Version 2013) |
| 3d | Green Award Requirements for Chemical tanker (Version 2013) |
| 3e | Green Award Requirements for Container carrier (Version 2014) |

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**Date: 1 October 2013**

**AMENDMENTS TO**

# Seacure for Operations 2011

As approved by the Committee and the Board of Experts during their 46th and 33rd meetings respectively held in 2013, the following amendments are made to the Seacure for Operations 2011 on top of the amendments made in 2012. A consolidated full version is expected to be launched in 2015.

Amendments in short:
- Best practice for Incident Reporting
- Amendments to certification requirements

## AMENDMENT 1: SEACURE FOR OPERATIONS 2011

*Page 7*

Include the sub-section "4.5 Best Practice for Incident Reporting" beneath "4.4 The Certification" (the section indicated in blue are the newly added sections):

Chapter 4 GUIDANCE TO THE SHIPOWNER/MANAGER
- 4.1 The Application
- 4.2 The Office Audit
- 4.3 The Ship Survey
- 4.4 The Certification
- 4.5 Best practice for Incident Reporting
- 4.6 Contact Details

---

### 4.5 Best practice for Incident Reporting

The Bureau Green Award (Hereafter Bureau) is openly committed to promoting continuous improvement in shipping standards. Learning from incidents and near-miss events is valuable in alerting others to unrealised hazards and is an important contributor to accident prevention.

To support this we therefore require Shipowners and Managers to notify the Bureau promptly, whenever a Green Award ship is involved in an incident. This notification should include the pertinent facts required to register the incident. The Bureau is cognisant that prior to investigation, reports and verified details will be limited. The Bureau undertakes to hold details received in strict confidence but reserves the right to include the unattributed data in statistical analysis at all times protecting the source of information.

As soon as circumstances allow, the Bureau requests Shipowners and Managers to share the results of their investigations in sufficient detail to allow the root cause of the incident to be understood and learning points to be derived and promulgated. When remedial action is taken we request details are included in the report (*Article 7*).

Should the reported circumstances indicate unacceptable conditions and practices contributed to the incident such that the integrity of the Green Award and the Certificate Holders may be adversely affected, the Bureau may take protective action including further investigation, withhold or (temporary-) withdrawal of certification in accordance with the specified criteria (*Article 16*).

*Guidance on Incident Reporting*

Upon occurrence of an incident, Shipowners and Managers are required to take the following steps:
- notify the Bureau with a factual statement concerning an incident as soon as possible after the event. This alerts the Bureau and a note is posted to the ships' file for future follow-up (*Article 7.5*).
- in due course Shipowners and Managers are required to notify the Bureau concerning the cause(s) of the incident and the remedial action taken. This information will be held in strict confidence, but may be used for statistical purposes as part of the Bureau's commitment to continuous improvement (*Article 7.6*).

*Page 15 – Article 2 Definition of terms*

Amend the definition of "Incident" (the section indicated in blue are the newly added sections):

| | |
|---|---|
| **Incident** | Collision, allision, grounding, loss of steering, propulsion or power, unauthorised overboard discharge, release of harmful gas or leakage, or any other event whatsoever which may have a negative impact on the safety of the vessel, the crew, the cargo and/or the environment. |

*Page 20 – Article 7 Obligations of the Applicant*

Split the section 7.5 into 7.5 and 7.6, and modified the regulation (the section indicated in blue are the amendments):

7.5
If an incident occurs involving a ship certified by Green Award, after the initial response to the incident is finalised, the ship manager is obliged to promptly notify the Green Award Bureau.

7.6
As soon as practicable, the ship manager is to notify the Green Award Bureau of the relevant details and consequences of the incident and any corrective measures taken. All information received by the Bureau which is related to the incident will remain strictly confidential except where required by law. The collected data may be used in anonymous statistical analysis relating to the type of incident and frequency for further improvement and development of the Green Award certification scheme.

*Page 25 – Article 16 Withdrawal of Certification*

Modify the conditions of withdrawal (the section indicated in blue are the modified sections):

16.4
A certificate can be (temporarily-) withdrawn by the Bureau with immediate or retroactive effect (without legal intervention) if:

- the Bureau is made aware of facts whereby, had these facts been known at the time of the survey and office audit, a certificate would not have been issued;
- the certificate holder fails to fulfil any of the obligations arising from the Green Award Regulations and Requirements after being declared in default about his failure by a registered letter and had not remedied the failed situation within 14 days after the receipt of the registered letter;
- the applicant has not fulfilled his payment obligations;
- during an interim annual survey, it appears that the ship no longer fulfils the list of requirements;
- it has been shown by documented evidence that the ship has illegally discharged waste substances either at sea or in port;
- it has been shown that the ship has caused an accidental discharge and that the ship did not comply with GA requirements at the time;
- the annual survey is not carried out in the period as per the required schedule;
- The certified ship has been involved in an incident whose cause relates to improper practice or relevant un-addressed non conformity.

## AMENDMENT 2: ANNEX 3 GREEN AWARD REQUIREMENTS

The latest requirements applicable to the Green Award certified ships have been updated. The following latest edition is now Green Award Requirements (Version 2013).

The requirements for the following ship types have been amended:

| | |
|---|---|
| 3a | Green Award Requirements (Oil tanker) |
| 3b | Green Award Requirements (Bulk carrier) |
| 3c | Green Award Requirements (LNG carrier) |
| 3d | Green Award Requirements (Chemical tanker) |

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P.O. Box 23107
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**Date: 1 July 2012**

## AMENDMENTS TO

# Seacure for Operations 2011

As approved by the Committee and the Board of Experts during their 44th and 31st meetings respectively held in 2012, the following amendments are made to the Seacure for Operations 2011.

Amendments in short:

- Chemical tanker programme start date
- Threshold for Chemical tankers
- Inclusion of Chemical tanker requirements
- Tariff for chemical tankers

## AMENDMENT 1: SEACURE FOR OPERATIONS 2011

*Page 9, Table 5.2*

Add a threshold to Chemical tanker and amend the threshold for Container carrier:

> **Chemical tanker**
> ≥ 20,000 ton DWT
>
> **Container carrier**
> ≥ LoA 180 metres

*Page 9*

Amend the launch dates of Chemical tanker and Container carrier:

> The Chemical tanker certification programme will be launched on 1 July 2012.
> The Container carrier certification programme is expected to be launched in 2013.

## AMENDMENT 2: ANNEX 1 CATEGORIES OF SHIPS TO WHICH THE GREEN AWARD REGULATIONS APPLY

*Page 28*

Amend the threshold for Chemical tanker:

> **CHEMICAL TANKERS from 20,000 ton dwt and above**
>
> Definition of Chemical tankers*:*
> A ship constructed for the carriage in bulk of any liquid product listed in chapter 17 of the Intentional Bulk Chemical Code.

## AMENDMENT 3: ANNEX 3 GREEN AWARD REQUIREMENTS

*Annex 3d & Annex 3e: Green Award Requirements for Chemical tanker and Green Award Requirements*

Amend launch dates for Chemical tanker and Container carrier :

> 3d Green Award Requirements (Chemical tanker)
> 3e Green Award Requirements (Container carrier) – expected in 2013

## AMENDMENT 4: APPLICATION FORM & LIST OF REQUIRED DOCUMENTS

*Page 1 and 3 , amended to make suitable for Chemical tankers*

*Page 1, The ship - Type*

The following ship type has been added to this section:

> Chemical tanker

*Page 3, Annex A to Green Award Application form*

The list of required documents has been indicated for LNG carriers

> Indicated as “C” in the column “SHIP TYPE”

## AMENDMENT 5: GREEN AWARD TARIFFS

*Page 1, Green Award Tariffs 2012*

Add tariff for Chemical tankers in section 1:

> Green Award Tariff List as of 01-07-2012
> The tariffs for Chemical tankers has been added to the section of Crude Oil Tankers, Product Tankers and LNG Carriers.

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# Seacure for Operations 2011

Issued on 1 September 2011

11th Edition

***Mission***

*The Green Award mission is to promote the safe and environmentally friendly behavior of ship and crew/management, mainly by achieving international acceptance, recognition, regulation and coordination of the "Green Award" certification, all in observance of (inter) national conventions, legislation and developments in the area of ship lay-out, equipment, crew, operations and management.*

*(Article 3, Green Award Foundation)*

***Ambition***

*As a totally independent and neutral, non-profit organisation, Green Award wants to create market preference for quality tonnage resulting in*

- ✓ *Less incidents and accidents that can jeopardize the (marine) environment*
- ✓ *Reduced inspections in favour of Green Award certified vessels*
- ✓ *A better market position*
- ✓ *Reduced risk of damage to a shipowner's reputation*
- ✓ *Continuous improvement*
- ✓ *Motivation and pride of crew*

*At numerous ports worldwide Green Award vessels receive a considerable reduction on port dues. Green Award strives for creating a network of "Green Award Ports" which will eliminate substandard shipping.*

**The Green Award bestows international recognition upon seagoing vessels which are *more than welcome* in any seaport**

**Green Award is winner of**

The THOR HEYERDAHL International Maritime Environmental Award **2001**

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## 1. GENERAL INTRODUCTION

The Green Award flag is flown by ships, which have a crew and management who devote extra attention to quality, safety and environmental protection. More and more shipping companies and managers are recognising that extra-safe and extra-clean shipping is an asset for all involved, and that the costs involved in the Green Award certification are earned back quickly and easily.

However, aside from economic aspects, the main issue is the social responsibility of international shipping. It no longer suffices for an internationally operating organisation – and certainly for tanker operating companies, which operate on such a visible level – to accept and meet just the minimum legal requirements. In order to continually justify its 'licence to operate', a shipping company must do more and also *show* that it is doing more.

Dozens of tanker and bulker operating companies have already made this strategic choice and since 2011, the Green Award system has also been open to LNG carriers and Inland barges. Green Award decided to develop a quality certificate relating to extra safety and environmental care for these categories of ships too. This decision was prompted by the market demand for both ship categories.

The Green Award is, even in literal terms, a flag that owners/managers can fly from their masts to show that they are socially aware entrepreneurs. Thus the reward for these entrepreneurs, the owners/managers of Green Award ships, is not only of a direct financial and economic nature. It is also a clear signal that they have a responsible, honourable attitude and act accordingly. A clear signal to society at large, but also to clients and to future clients. In this way too, through a positive image and the corresponding rewards in the relationship with clients and business partners, the Green Award contributes to the success of modern shipping.

Seacure for Operations 2011 helps management and crew to stay alert to the requirements that the Green Award sets for clean and safe shipping.

# 2. THE GREEN AWARD FOUNDATION

The certification body is a foundation, with its own Articles.

## 2.1 Structure of the Foundation

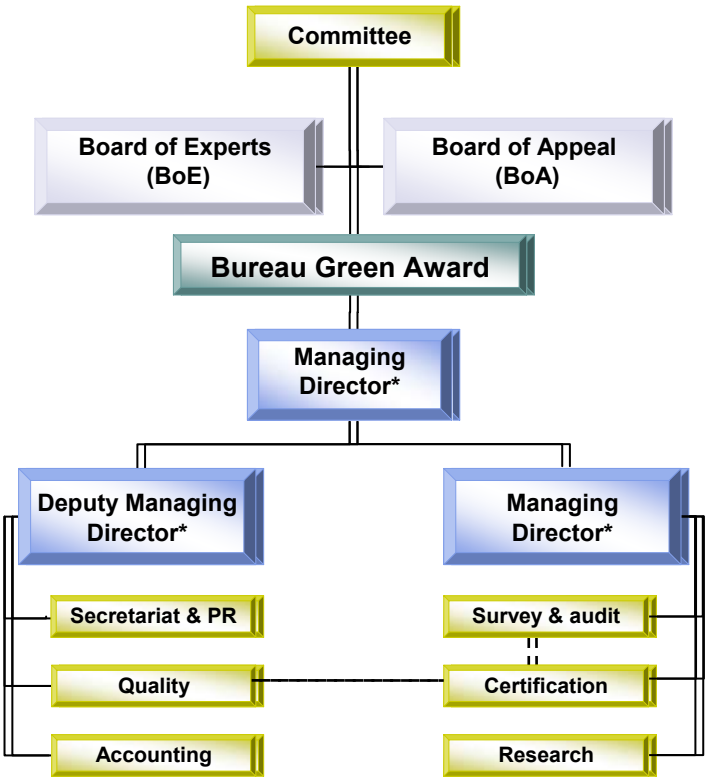
*Committee*
The Committee consists of members representing the international maritime industry, including both public and private interests. The Committee manages the Green Award Foundation as laid down in the Foundation's articles.

*Board of Appeal*
The Board of Appeal consists of three independent members, to be appointed by the Committee.

*Board of Experts*
The Board of Experts consists of representatives from the maritime industry and is assigned to advise the Committee. The members will be appointed by the Committee.

*Bureau Green Award*
The Bureau Green Award is the executive body (office) of the Green Award Foundation.

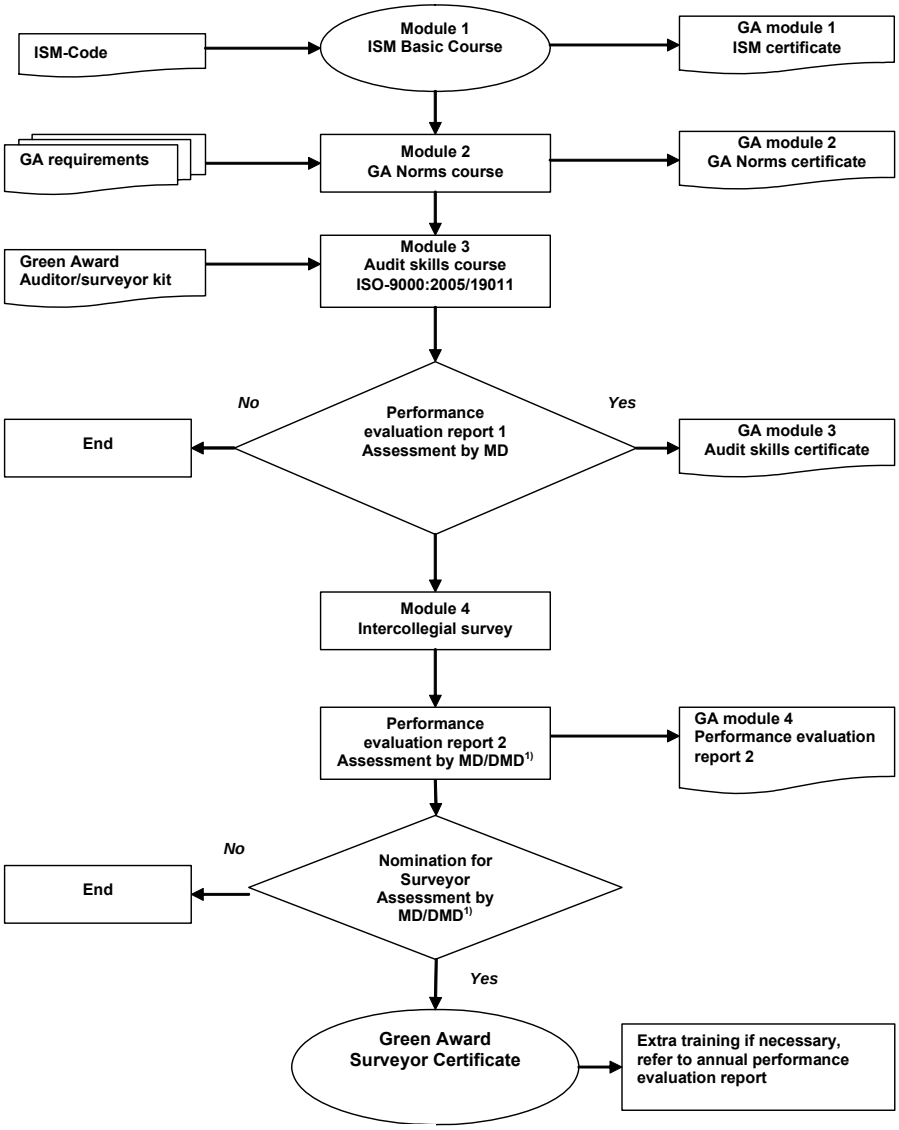
## 2.2 Organisation diagram



## 2.3 The training scheme of the Green Award surveyors

The education and training of the Green Award auditors/surveyors has to meet the upgraded requirements of the Green Award Foundation. The Green Award auditors/surveyors must have the required maritime experiences and have to fulfil an intensive training programme. The education and training programme is developed by Green Award and approved and accredited by the Nautical Institute. The auditors and surveyors have to meet the requirements of the NEN-EN-ISO/IEC 17021:2011, NEN-ISO 19011:2002.

The flow diagram shows the Green Award surveyor's training scheme.




MD/DMD[1)]= Managing Director/Deputy Managing Director

Once a year a 'Green Award auditor/surveyor feedback day' is organised by the Quality Department of Green Award to achieve a more efficient and correct survey method. The auditors/surveyors exchange their experiences of the audits/surveys and are informed about the latest regulations, legislation and innovations regarding the shipping industry to improve the Green Award certification system and their performance.

# 3. THE GREEN AWARD CERTIFICATION SYSTEM

## 3.1 Introduction

The certification system is based on the following standards:

| | |
|---|---|
| **NEN-EN-ISO 9000: 2005** | Quality management systems - Fundamentals and vocabulary |
| **NEN-EN-ISO/IEC 17021:2011** | Conformity assessment - Requirements for bodies providing audit and certification of management systems |
| **NEN-EN-ISO 9001:2008** | Quality management systems; Requirements |
| **NEN-EN-ISO 19011:2002** | Guidelines for quality and/or environmental management systems auditing |

Implementation of these standards leads to the optimisation of internal structures, procedures and working methods. Green Award aims at protecting its independence and integrity as a certifying body operating at an international level.

## 3.2 Set up of the Green Award Requirements

The Green Award requirements are divided into the following three parts:

Basic criteria : - The international regulations and legislation established by the IMO conventions

Ranking criteria : - Future IMO conventions and industry guidelines
- Recommendations and guidelines from the IMO and Maritime Organisations
- Additional Green Award requirements. (safety/environmental/management)
- Elements from the ISO-9000/2005 norms
- Regional requirements, e.g. European Union.

Visual Inspection : - Subjects concerning maintenance and condition of hull, deck, machinery and equipment

The Green Award Requirements for offices, oil tankers and bulk carriers are defined. Distinction is made between the norm elements required for the office, oil tankers and bulk carriers.
Auditors and surveyors use specially developed checklists for their audits/surveys.
Examples are as follows:

- Basic Criteria Checklists
- Ranking Criteria Checklists
- Visual inspection list

The checklists indicate for each element, which department or employee the norm elements are applicable to.

## 3.3 Assessment

*Basic Criteria*

The Basic Criteria originate from the international legislation for ships. The auditors and surveyors audit the implementation of these criteria according to checklists. After the audit/survey, a report of findings will be given in the form of an office audit report/ship survey report. In addition to this report, the individual findings will be qualified as a major non-conformity (MNC), non-conformity (NC) or Observation (Obs) and noted on a separate office audit note or ship survey note. Definitions of these findings are described in the Green Award Regulations.

*Ranking Criteria*

The Ranking Criteria originate from the additional requirements of Green Award and are stated in the checklists. The Ranking Criteria are divided into the following norms:

General
Navigation/Bridge operations
Machinery/Engine operations
Cargo/Cargo operations
Prevention of pollution
Maintenance and surveys
Crew
ISO-9001/2008 elements

*Visual Inspection*

An important part of the ship survey is the Visual Inspection, for which a surveyor's guide has been developed for both oil tankers and bulk carriers. For bulk carriers between six and fifteen years of age an intensive visual inspection will be carried out by an naval architect subcontracted by Bureau Green Award. This inspection focuses mainly on the condition of the hull, tanks, holds and hatches. The objective of this extensive inspection is to obtain a general impression of the condition of the vessel, but it is certainly not the intention to step into the classification society's position. If an extensive condition assessment program has been carried out recently, a Green Award extensive visual inspection may be unnecessary. For bulk carriers of more than 15 years of age, a 'condition assessment program' is required.

Detailed criteria for the Green Award Assessment are stated under Chapter 8.

# 4. GUIDANCE TO THE SHIPOWNER/MANAGER

## 4.1 The Application

Green Award certification is initiated with an application for survey and certification of one or more ship/s.
If the manager/owner of the ship (holder of the DOC) is not certified by Green Award, an office audit must take place first and the manager/owner awarded certification before the ship survey can commence.

To request Green Award Certification, the application form for one or more ship/s and copies of documents required should be forwarded electronically or by mail to :

certification@greenaward.org **or**

Bureau Green Award
Veerkade 2, 2nd floor
3016 DE ROTTERDAM
The Netherlands

## 4.2 The Office Audit

The survey department will contact the applicant to set a date for the initial office audit. If the office is already in possession of the Green Award Office Certificate, an appointment for the ship survey will be made. Before execution of the office audit an agenda covering the audit will be sent to the applicant. The Office audit will take **two days**, is carried out by **two** Green Award **Auditors** and is based on the Green Award basic and ranking requirements. After the two-day session, an audit report and notes will be made and issued at the closing meeting.
The auditors will report the results to the Certification Department of Bureau Green Award. When the results of **both** the initial office audit and the ship survey meet the GA requirements and they are checked completely and approved by the Certification Officer, the applicant will receive a Green Award certificate for both the Office and Ship.

## 4.3 The Ship Survey

On receipt of the application form and the copies of documents required, the Certification department will execute an initial review to ascertain that the application is complete. If not, a request for missing or incorrect documents will be sent to the applicant. The Certification department in consultation with the Survey department checks the status report of the ship and the validity of the application documents. When the application is received in good order and the initial review has been completed, the Bureau confirms the application with the applicant.
The applicant will be requested to inform the Bureau about the sailing schedules of the vessel(s) applying for certification after which the surveyor will contact the applicant to set a place and date for the initial ship survey. Before execution of the survey, an agenda covering the survey will be issued on board. The applicant will inform the master of the vessel about the Green Award certification procedures, requirements and relevant information.
On board, relevant documentation must be prepared and available in relation to the requirements for which the ship is eligible (on owner's/captain's indication).
The initial survey will take approximately **nine hours** and is based on the Green Award basic and ranking requirements and visual inspection for the respective ship category.
At the closing meeting on board with the master and senior officer(s), the surveyor will issue the survey report and notes. The surveyor reports the results of the complete survey to the Certification Department of the Bureau. If the results of the ship survey meet the GA requirements and after it is checked completely and approved by the Certification Officer, the applicant will receive the ship survey report and a certificate.

## 4.4 The Certification

When the Green Award assessment criteria are met and proposed corrective actions or corrective actions taken by the applicant are agreed upon, the Managing Director of Bureau Green Award will grant the Green Award Office and Ship Certificate to the applicant.
The incentive providers will be informed of the certification date of the vessel.

## 4.5 Contact Details

| Item | E-mail | Telephone |
|---|---|---|
| Application queries<br>Organisational changes (termination of certificate or change of certificate details) | certification@greenaward.org | +31 10 217 02 00 |
| Vessel surveys<br>Sailing schedules<br>Results / comments on audits and surveys | survey@greenaward.org | +31 10 217 02 00 |
| Office audits | survey@greenaward.org | +31 10 217 02 00 |
| Complaints | quality@greenaward.org | +31 10 217 02 00 |
| General information | secretariat@greenaward.org | +31 10 217 02 00 |
| Applications & post by courier | Bureau Green Award<br>Veerkade 2, 2nd floor<br>3016 DE ROTTERDAM<br>The Netherlands | |
| All other mail | Bureau Green Award<br>P.O. Box 23 107<br>3001 KC ROTTERDAM<br>The Netherlands | |
| Office hours | 09:00 – 17:00 (local time) | |
| Urgent messages after offices hours | +31 10 217 02 00 is rerouted to a mobile phone or its voicemail box. | |

## 5. AUDIT AND SURVEY SCHEDULE, GREEN AWARD CERTIFICATION

**Table 5.1**

| AUDIT/SURVEY | Oil tankers >20,000 ton DWT | | | | Bulk carriers >20,000 ton DWT Age 0 - 6 years | | | | Bulk carriers >20,000 ton DWT Age 6 - 15 years | | | | Bulk carriers > 20,000 ton DWT Age >15 years | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Initial | Annual 1 | Annual 2 | Renewal | Initial | Annual 1 | Annual 2 | Renewal | Initial | Annual 1 | Annual 2 | Renewal | Initial | Annual 1 | Annual 2 | Renewal |
| Office Audit Complete check of GA requirements | O | | | O | O | | | O | O | | | O | O | | | O |
| Office Audit Intermediate check of GA requirements | | Only when required | | | | Only when required | | | | Only when required | | | | Only when required | | |
| Ship survey Complete check of GA requirements | O | | | O | O | | | O | O | | | O | O | | | O |
| Ship Survey Intermediate check of GA requirements | | O * | O * | | | O | O | | | O | O | | | O | O | |
| Visual inspection | O | O * | O * | O | O | O | O | O | | O | O | | | O | O | |
| Extensive visual inspection performed by Green Award external naval architect | Only when required | | | | Only when required | | | | O | Only when required | | O | Only when required | | | |
| Condition Assessment Programme | | | | | | | | | | | | | O | | | O |

*) Annual surveys 1 and 2 can be substituted by one intermediate survey depending on the performance of the vessel and manager. More information on this reduced survey regime can be found in the Green Award Regulations under Article 12.3 and detailed criteria can be obtained from Bureau Green Award on request. This incentive is available for oil tankers only.

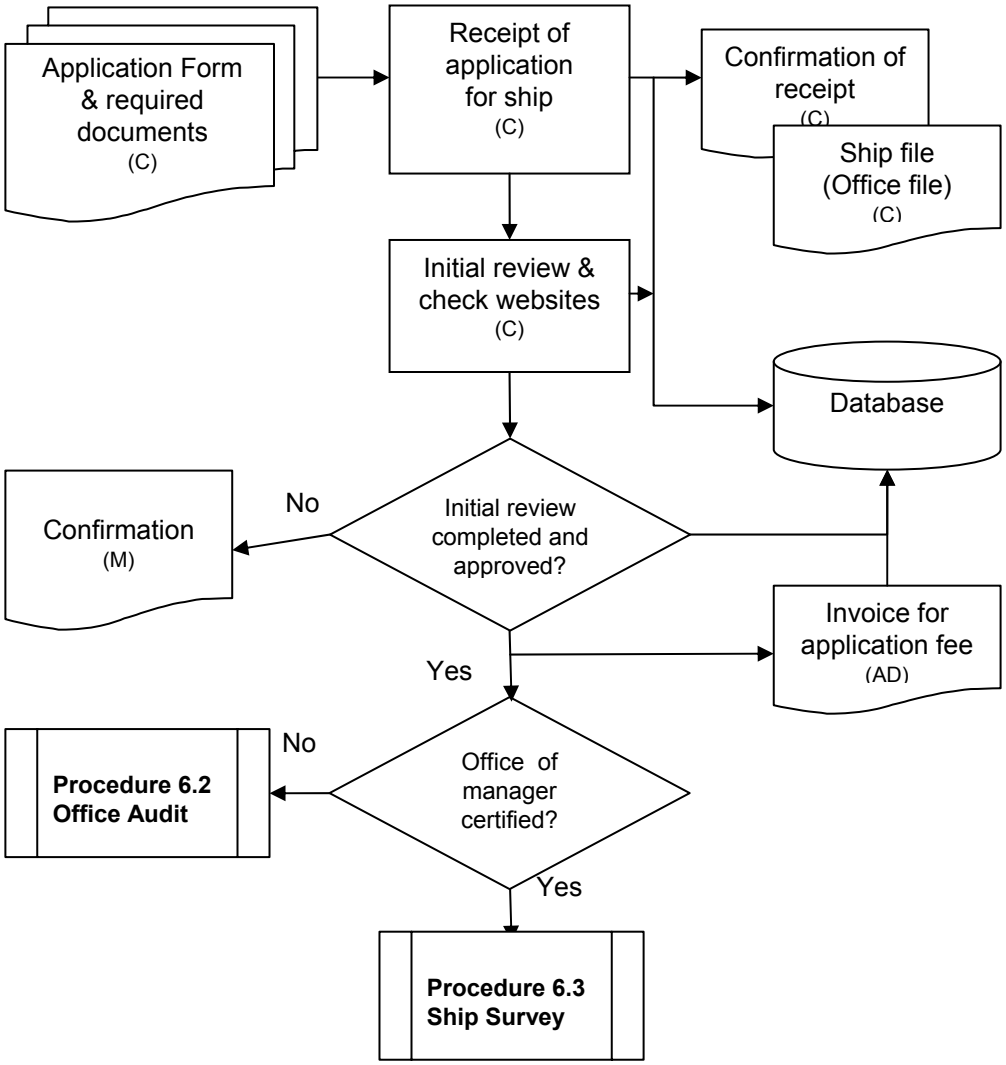
**Table 5.2**

| AUDIT/SURVEY | LNG carriers No DWT - threshold limitation | | | | Chemical tanker** No DWT - threshold limitation | | | | Container carrier** > LoA 130 metres | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | Initial | Annual 1 | Annual 2 | Renewal | Initial | Annual 1 | Annual 2 | Renewal | Initial | Annual 1 | Annual 2 | Renewal |
| Office Audit Complete check of GA requirements | O | | | O | O | | | O | O | | | O |
| Office Audit Intermediate check of GA requirements | | Only when required | | | | Only when required | | | | Only when required | | |
| Ship survey Complete check of GA requirements | O | | | O | O | | | O | O | | | O |
| Ship Survey Intermediate check of GA requirements | | O | O | | | O | O | | | O | O | |
| Visual inspection | O | O | O | O | O | O | O | O | | O | O | |
| Extensive visual inspection performed by Green Award external naval architect | Only when required | | | | Only when required | | | | Only when required | | | |
| Condition Assessment Programme | | | | | | | | | | | | |

**) The Chemical tanker and Container carrier certifications are expected to be launched at the end of 2011.

# 6. INITIAL CERTIFICATION PROCEDURE

## 6.1 The application



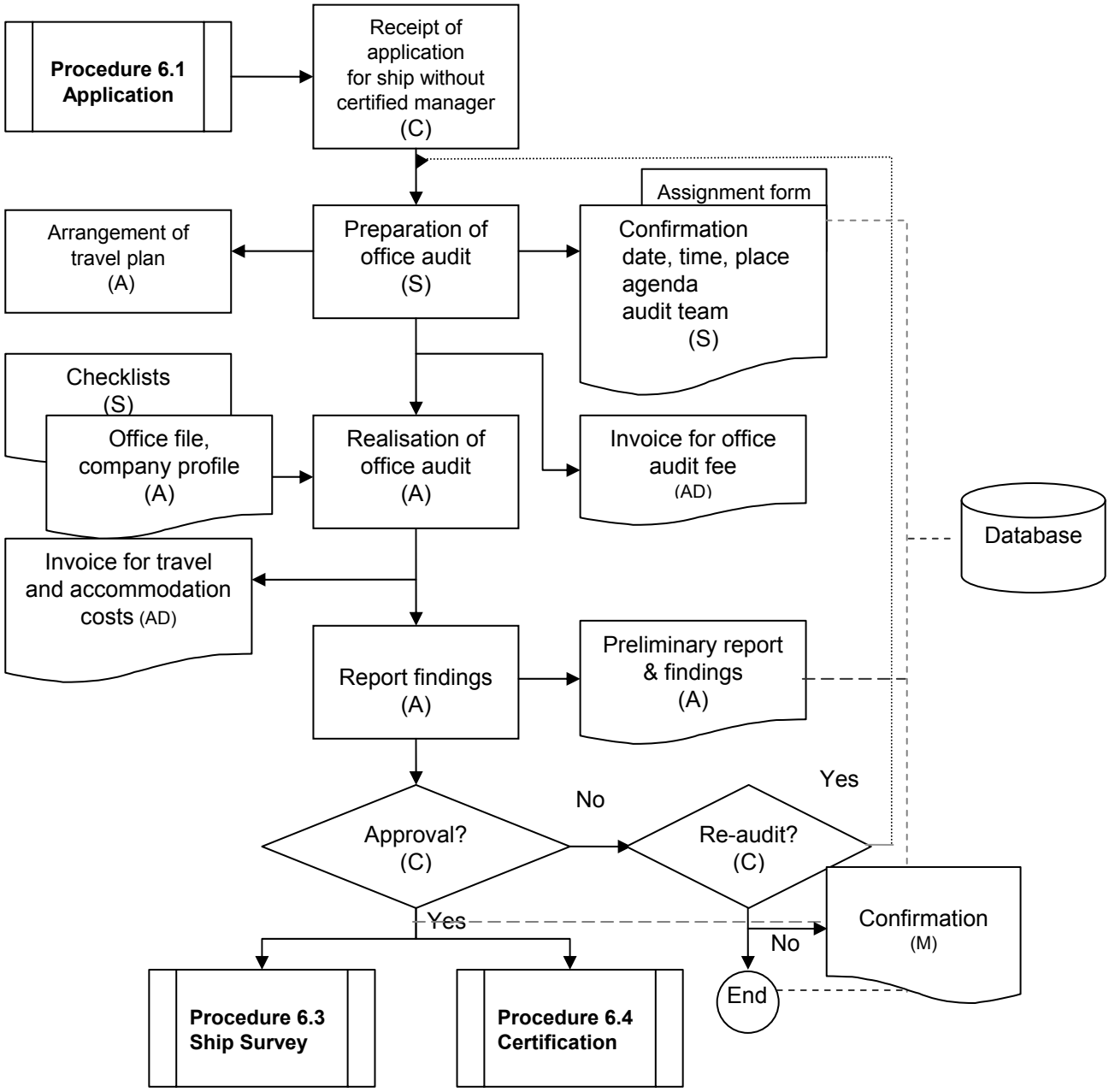

**Certification dept. (C)**
+ Executes initial review (IT-09)
+ Checks websites Equasis / USCG / Rightship
+ Communicates outcome of review to survey dept.
+ Confirms receipt of application to applicant
+ Creates ship file
+ Creates office file if applicable
+ Sends request for missing documents if applicable
+ Enters applicant in database

**Survey dept. (S)**
+ Approves initial review

**Management (M)**
+ Informs applicant if ship is not eligible for certification

**Accounting dept. (AD)**
+ Sends application fee

## 6.2 The Office Audit




**Survey dept. (S)**
+ Discusses and confirms date, time, place, agenda and audit team
+ Prints assignment form (PO-06)

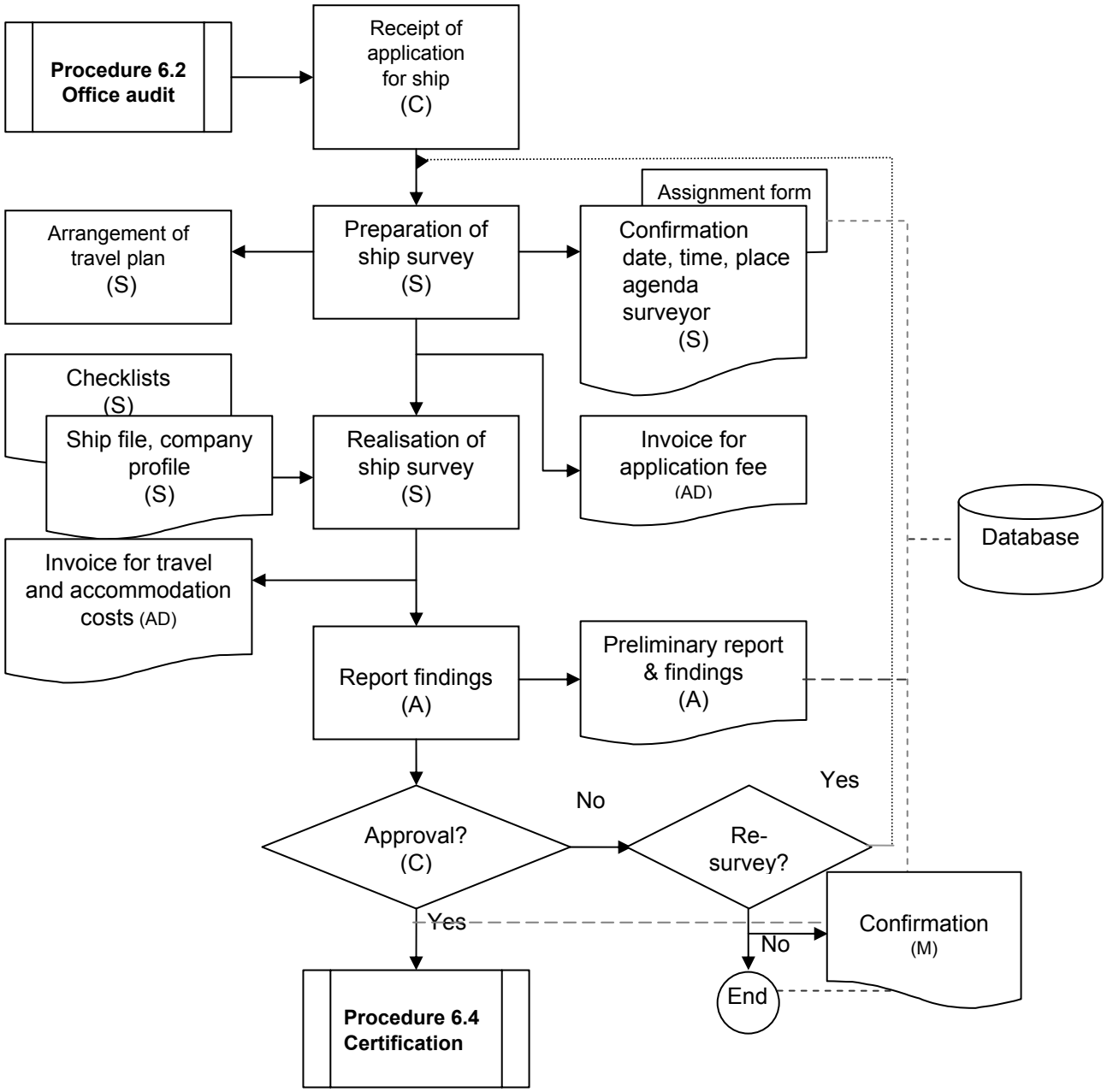
**Auditors (A)**
+ Make travel arrangements, check validity of travel documents
+ Prepare office audit (file, company profile, checklists)
+ Realise office audit
+ Prepare report and findings

**Accounting dept. (AD)**
+ Sends invoice for office audit fee
+ Sends invoice for travel and accommodation costs

**Certification dept. (C)**
+ Verifies nomination for certification
+ Decides if re-audit is necessary
+ Gives feedback to auditors
+ Contacts management if no approval given
+ Management contacts applicant if no approval given

**Management (M)**
+ Informs applicant if office is not eligible for certification

## 6.3 The Ship Survey



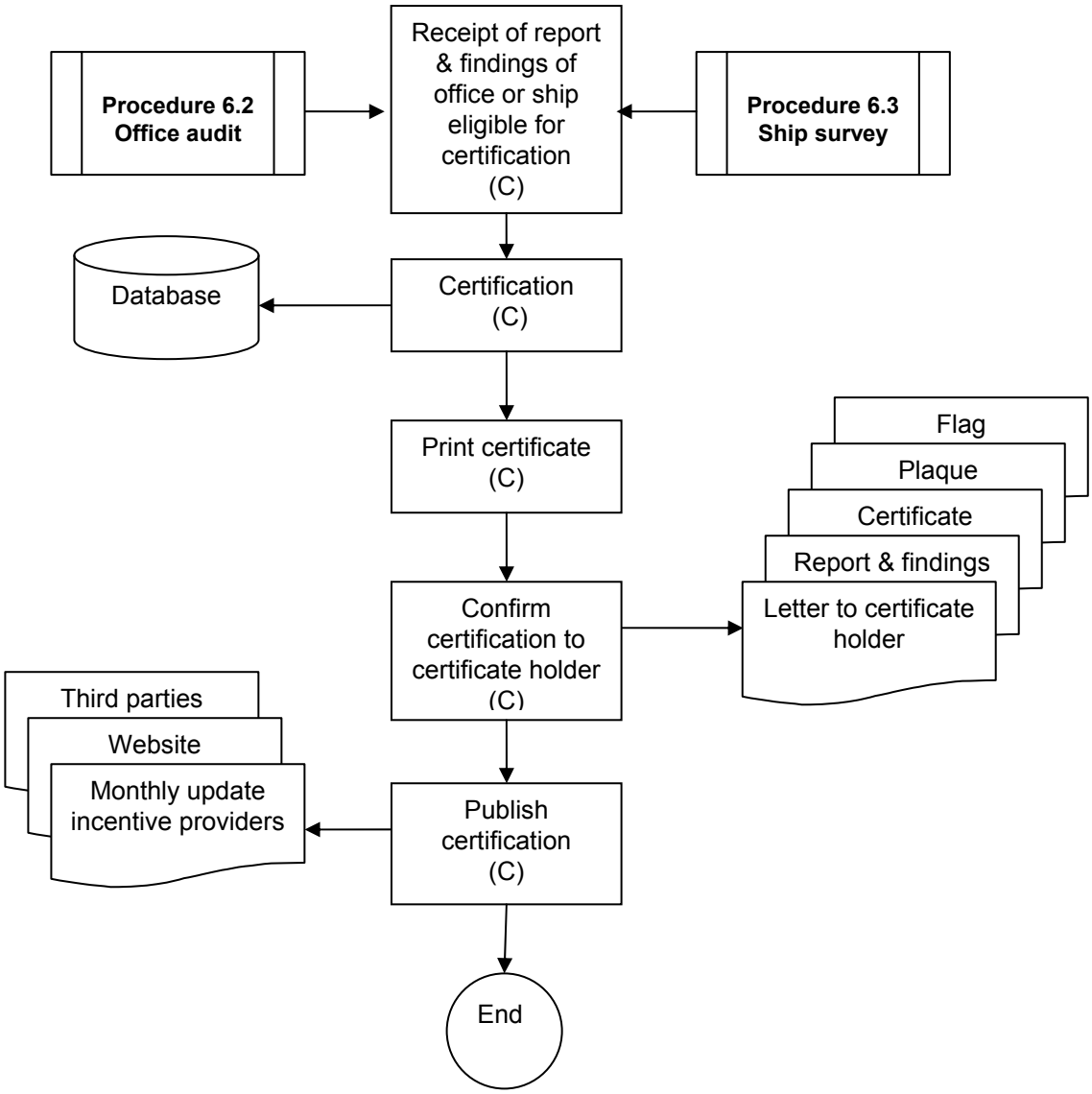

**Survey dept. (S)**
+ Discusses and confirms date, time, place, agenda and surveyor(s)
+ Prints assignment form (PO-06)
+ Makes travel arrangements, checks validity of travel documents
+ Prepares ship survey (file, company profile, checklists)
+ Realises ship survey
+ Prepares report and findings

**Accounting dept. (AD)**
+ Sends invoice for application fee
+ Sends invoice for travel and accommodation costs

**Certification dept. (C)**
+ Verifies nomination for certification
+ Decides if re-survey is necessary
+ Gives feedback to surveyor
+ Contacts management if no approval given

**Management (M)**
+ Informs applicant if ship is not eligible for certification

## 6.4 The Certification




**Certification dept. (C)**
+ Certifies office or ship officially
+ Prints certificate
+ Prepares and signs confirmation letter to certificate holder
+ Updates database
+ Informs third parties and incentive providers

**Secretariat**
+ Sends letter and attachments and updates database

**Managing Director or Deputy Managing Director**
+ Signs certificate

# 7. GREEN AWARD REGULATIONS

## Article 1 Norms

The Certification system of the Green Award Foundation is based on the norms stated below.

| | |
|---|---|
| **NEN-EN-ISO 9000:2005** | Quality management systems; fundamentals and vocabulary |
| **NEN-EN ISO/IEC 17021:2011** | Conformity assessment - Requirements for bodies providing audit and certification of management systems |
| **NEN-EN-ISO 9001:2008** | Quality management systems; requirements |
| **NEN-EN-ISO 19011:2002** | Guidelines for auditing quality and/or environmental management systems |

## Article 2 Definition of terms

Terms used in these regulations are defined as follows:

| | |
|---|---|
| **Applicant** | The shipowner (or his authorized representative or manager) who is applying for an audit/survey within the context of the Green Award scheme. |
| **Application** | The form whereby the applicant applies for the office procedures audit and ship survey. When approved and signed by the Applicant, the Application binds the Applicant to comply with the Green Award Regulations and Requirements as a condition of receiving the Green Award certificate. |
| **Audit/survey agenda** | Overview of activities and time schedule concerning the execution of the office procedures audit or ship survey by (or on behalf of) the Bureau, drawn up in consultation with the applicant. |
| **BoA** | The Board of Appeal. |
| **BoE** | The Board of Experts. |
| **Bureau Green Award** | (Hereafter Bureau) The executive body of the Green Award Foundation. |
| **Certificate** | Document which states that the company and its ship(s) comply with the Green Award Requirements and Green Award Regulations. |
| **Certificate Holder** | Shipowner (or his authorized representative or manager) who was awarded the Green Award Certificate. |
| **Committee** | The General Committee of the Green Award Foundation. |

| | |
|---|---|
| **Company** | The owner of the ship or any organisation responsible for the ship such as the manager who has assumed the responsibility for operation of the ship from the shipowner. |
| **Endorsement** | A form which is attached to the GA Ship Certificate and indicates that the annual survey has been carried out and that the ship remains certified. |
| **Foundation** | The Green Award Foundation. |
| **GA** | Green Award |
| **Green Award Logo** | The logo which the GA certificate holder is permitted to use. The logo may only be used in connection with the office and the ship to which a certificate appertains or for general purposes in combination with an approved statement by the Green Award Foundation. |
| **GA Office Certificate** | A Certificate, which states that the Office of the Owner/Manager meets the GA Requirements concerning office procedures. A GA Office Certificate is only issued in combination with a GA Ship Certificate. |
| **GA Ship Certificate** | A Certificate, which states that the ship of the Owner/Manager meets the GA requirements. A GA Ship Certificate is only issued in combination with a GA Office Certificate. |
| **Green Award Requirements** | The requirements as listed in Annex 3 comprising the criteria on the basis of which ships may be considered for a certificate. |
| **Initial Review** | The desk survey carried out on the basis of documents, certificates, ship's drawings and Port State Control status reports, to determine whether the ship complies with the basic criteria of the Green Award requirements. |
| **Improvement Note (IN)** | A note relating to the office audit or ship survey carried out according to the Green Award Ranking requirements, which states those element/s for which the minimum required score is not achieved and the suggested improvements for those element/s. |
| **Incident** | Collision, grounding, loss of steering, propulsion or shipboard power, overboard discharge or leakage, or other event which has had a negative impact on safety or environment and which is in breach of applicable regulations and / or company procedures |
| **Manager** | An organisation which has assumed the responsibility for operation of the ship from the shipowner |
| **Major Non-conformity (MNC)** | Determination of an objective, identifiable finding, where objective evidence indicates a **serious** threat to the safety of ship and crew, or the environment or the management system. |

| | |
|---|---|
| **Non-conformity (NC)** | Determination of an objective, identifiable finding where objective evidence indicates a **possible** threat to the safety of ship and crew, or the environment or the management system. |
| **Observation (Obs)** | Determination of a statement of fact where objective evidence **does not indicate a direct serious threat** to the safety of ship and crew, or the environment or the management system. |
| **Office Procedures Audit** | Hereafter Office Audit. A review to determine whether the office policies and procedures comply with the Green Award Requirements. The office audit takes place at the company's office. |
| **Office Audit Note** | A document which states the description and corrective measures concerning a finding (MNC, NC, Obs or Improvement Note) |
| **Office Audit Report** | A document consisting of the general office audit report, office audit note/s which state the finding/s (MNC, NC, Obs or Improvement Note) and the auditor's verification checklists of the basic criteria and the ranking criteria which includes the ranking score. |
| **Seacure for Operations** | A document which gives information about the Green Award certification system, requirements, and regulations including information for shipowners, managers and ship personnel in order to prepare them for the office audit and ship survey. |
| **Ship** | Any vessel in use or suitable for use as a means of transport on water, and which is used for the carriage of cargo by sea, or which is constructed for the purpose of the carriage of cargo by sea or is furnished with a document - issued by the relevant authority of the country where the ship is registered - which shows that it is suitable for the carriage of cargo by sea. |
| **Shipowner** | The person or organisation having the right of ownership of a ship. |
| **Ship Survey** | An initial, annual, intermediate or renewal survey of the ship with regard to sufficient compliance with the Green Award requirements. The survey takes place on board. |
| **Ship Survey Note** | A document which states the description and corrective measures concerning a finding/s (MNC, NC, Obs or Improvement Note). |
| **Ship Survey Report** | A document consisting of the general ship survey report, ship survey note/s which state the finding/s (MNC, NC, Obs or Improvement Note) of the ship survey and the surveyor's verification checklists of the basic criteria and the ranking criteria which includes the ranking score. |
| **Visual Inspection** | A visual inspection which is part of the ship survey and will be carried out by the Green Award surveyor or representative to determine the general condition of the ship. |

## Article 3 General

3.1
These regulations may be referred to as the "Green Award Regulations".

3.2
The Green Award Regulations, together with the attached annexes establish the Green Award certification system.

3.3
The Green Award Requirements form the basis for the granting of the Green Award Certificate. The certification criteria are determined by the Committee of the Foundation following consultation with the Board of Experts.

3.4
The detailed Green Award requirements consist of the following parts; basic criteria, ranking criteria and visual criteria as defined in the most recent version of the “Seacure for Operations” and its annexes.

3.5
The requirements on the basis of which a certificate is issued will remain in force throughout the validity of that certificate.

## Article 4 The Bureau

4.1
Bureau Green Award is the executive body of the Green Award Foundation.

4.2
The Bureau will issue the Green Award Certificate to the shipowner/manager after an audit of the office and survey of the ship(s) confirms that the Green Award Regulations and Requirements are complied with.

4.3
The Bureau is responsible for the office audit and the ship survey.

4.4
The Bureau retains all information concerning offices and ships for which a certificate has been issued, together with information concerning offices and ships for which an application for certification has been made.

4.5
The Bureau will publish annually a complete list of certified ships and their corresponding certificate holders.

4.6
The Bureau is responsible for providing information to third parties. At minimum, this will concern information relating to Green Award, the composition of the Committee, the Board of Experts, the Board of Appeal and a list of all certificate holders who own or manage a ship for which valid certificates have been issued, stating the offices of the owner/manager, their certified ship(s), the date of certification and certificate number.

4.7
The Bureau will provide an applicant with the following information:

- An application form for the ship to be considered for the Green Award certification, accompanied by explanatory notes;
- The "Seacure for Operations", a proprietary document, which contains the Green Award Regulations and Green Award Requirements.

4.8
The Bureau will inform the applicant as soon as possible of decisions concerning the processing of the application for a certificate.

## Article 5 The Board of Experts

5.1
The Board of Experts (BoE) has been appointed by the Committee of the Green Award Foundation.

5.2
The Board of Experts will advise the Committee of the Foundation, on request or independently.
The Committee is to be advised by the BoE concerning the following:

- The Green Award Regulations;
- The nature and content of the certification system;
- The Green Award requirements and the survey methods on which the certification system is based;
- The frequency of audits and surveys which should be carried out;
- Regulations for the use of a certificate and/or logo;
- All relevant regulations and developments pertaining to certification to be included in the Green Award requirements.

## Article 6 Application Process

6.1
The applicant will provide the following to the Bureau for the initial review:

- An application form signed by the applicant;
- Copies of certificates and records as stipulated on the application form;
- Technical drawings of the ship as stipulated on the application form.

6.2
If the information and documentation is incomplete, the Bureau may request the applicant to provide additional information.

6.3
The Application for the Green Award certificate has to be signed by the applicant whereby he confirms his understanding and agreement with the terms of the Green Award Regulations and Requirements as stated in the most recent version of the "Seacure for Operations".

6.4
The Bureau will have the right to obtain information from a third party concerning both the condition of the ship and the conduct of the crew for a period of 2 years preceding the date of application. The application will only be considered if this information shows that during this period the ship:

- has not been detained under the terms of Port State Control Authorities insofar as relevant to Green Award certification
- Has not been involved in environmental or relevant safety violations.

6.5
The certification process will consist of an initial review, an office audit and a ship survey. The initial review, the office audit and ship survey will not be carried out until the payment of the Office Audit Fee and the Application Fee for each ship has been made.

6.6
The initial review will consist of a desk survey carried out on the basis of documents, certificates, ship's drawings and Port State Control status reports, to determine whether the ship complies with the basic criteria of the Green Award of requirements. The office audit and a ship survey will consist of examining whether the office and shore-based management and the ship, shipboard management and crew comply with the Green Award Requirements.

6.7
If the review process is delayed the applicant will be informed of this fact. If this delay is caused by the applicant, including not providing the Bureau with timely, complete and accurate information concerning the ship and its use when applying for or renewing the Certificate, the Bureau retains the right to terminate the review. In this case, the payment already made for the Office Audit Fee and Application Fee will not be refunded.

6.8
The ship survey will take place only after the initial review and the office audit meet the Green Award Requirements.

6.9
The applicant may withdraw his application at any time during the audit or survey. The payment of the Office Audit fee and the Application Fee will not be refunded.

## Article 7 Obligations of the Applicant

7.1
An applicant is not permitted to associate or identify or utilize in any fashion the name "Green Award" with the office and ship(s) for which he has submitted an application until a Green Award certificate has been issued. Failure to comply with this condition will result in immediate termination of the certification process, without refund of fees paid and may result in further legal sanctions.

7.2
When applying for or renewing the Green Award Certificate, the shipowner must provide the Bureau with complete and accurate information concerning the ship and its utilization. The information and documents should be provided in a timely fashion and must be sufficient to carry out the office audit and ship survey in order to determine whether the office and ship comply with Green Award Requirements.

7.3
All information referred to in Article 7.2 provided by the applicant will remain in the possession of the Bureau for at least the period of validity of a certificate.

7.4
The applicant will co-operate in every way necessary with the office audit and ship survey and will give employees of the Bureau (or persons carrying out the office audit or ship survey on behalf of the Bureau) access to company's office to be audited or the ship to be surveyed. All information relevant to the application or supplementary information requested later by the Bureau, should be sent by the applicant within a period of six weeks of the application and/or the request.

7.5
If an incident occurs involving a ship certified by Green Award, the ship manager is obliged to promptly inform the Green Award Bureau (after the initial response to the incident is finalised) and in addition to inform the Bureau of all corrective action taken or to be taken in relation to the incident as soon as investigations are completed. All information received by the Bureau which is related to the incident will remain strictly confidential.

## Article 8 The Initial Office Audit and Ship Survey

8.1
The initial review will commence within 30 days of receipt of the sum payable, unless otherwise agreed in consultation with the applicant.

8.2
Insofar as the initial review includes documents and certificates, these will only be accepted if a Flag State has issued them or if they are issued by a Classification Society as authorised by the Flag State. This Classification Society should be a member of the International Association of Classification Societies (IACS) and be certified in accordance with the IACS/Quality System Certification Scheme.

8.3
The initial review normally will last a maximum of six weeks.

8.4
In case of non-compliance concerning the required documents mentioned in the application form, the applicant will be informed in writing within 30 days.

8.5
The office audit will be carried out at the office of the company who has assumed the responsibility for operation of the ship from the shipowner.

8.6
The Bureau will draw up an audit agenda concerning the office audit in consultation with the shipowner/manager and a survey agenda concerning the ship survey in consultation with the master of the ship. The office audit will be conducted within 6 months of receipt of the application unless determined otherwise in consultation with the applicant. The applicant is obliged to make the ship available for survey within six months after an office certificate is issued.

8.7
The office audit and ship survey will take place to the extent possible during normal activities as agreed in consultation with the applicant. The certificate holder is obliged to give the necessary assistance during an audit, survey or check.

8.8
If the office audit or ship survey requires it, the Bureau will make an interim report for the applicant. If this report concludes that the procedure cannot reasonably be expected to lead to a positive final result, the processing of the application may be terminated by mutual agreement. In such a case there will be no refund of fees already paid.

8.9
The Bureau will forward the office audit and ship survey results to the applicant, drawn up in English, within one month of completion of the respective surveys.

8.10
The applicant may submit written comments to the Bureau within 30 days after the receipt of the office audit and ship survey results.

8.11
The Bureau will evaluate and reply to the comments from the applicant within 30 days.

## Article 9 The Outcome of the Office Audit and the Ship Survey

9.1
The Bureau assesses the office audit results and ship survey results in accordance with the Green Award certification system and assessment criteria.

9.2
On the basis of the assessment, the Bureau determines whether the office and the ship will be refused or granted a Green Award Office Certificate and a Green Award Ship Certificate.

9.3
If an application has been refused or the processing of an application has been terminated by mutual agreement, the Bureau will not accept a new application for the same ship unless the applicant has shown that adequate measures have been taken to improve the elements on the grounds of which his earlier application was refused, or the reasons which led to the premature termination of the application process have ceased to exist.

## Article 10 Certificates

10.1
The Green Award certificate will be granted as evidence that the office and the ship comply with the Green Award Regulations and Requirements.

10.2
The Green Award certificate will be valid for a period of three years except for the provisions in Article 12.1, Article 13.3, Article 16.4, Article 16.6 and Article 16.7. The date on which a certificate takes effect will be the date on which a certificate has been issued by the Certification Department of the Bureau.

10.3
The Green Award Certificate will not replace any certificate or document required by virtue of national or international regulations or conventions.

## Article 11 Annual Ship Surveys

11.1
Throughout the period of validity of a GA ship certificate, the Bureau will carry out ship surveys at least once a year unless otherwise agreed. The annual survey will normally be carried out during the period of three months prior to and three months following the anniversary date on which the certificate was issued. The survey will be carried out either by the Bureau or on its behalf by an authorised party.

11.2
The certificate holder and the ship's crew will be obliged to co-operate with the implementation of this survey and to make mutually satisfactory arrangements for the ship surveys within the above mentioned periods.

11.3
If the ship meets the Green Award requirements, the surveyor assigned by the Bureau will complete the endorsement to the certificate.

11.4
If the ship does not meet the Green Award requirements, the Bureau will inform the certificate holder in writing. If the results of a ship survey require an additional office audit, the shipowner will be informed immediately.

11.5
The Bureau is entitled to carry out an interim survey if the ship changes name, flag or classification society.

## Article 12 Certificate Renewal - After Three Years

12.1
Within six months prior to the expiry of a certificate, the Bureau will carry out an office audit review at the company's office and a ship survey review. The certificate holder must request these procedures. When a new certificate is issued, the previous certificate will no longer be valid.

12.2
If an office audit renewal review or ship survey renewal review is underway, the validity of the previous certificate may be prolonged by the Bureau for a maximum of three months.

12.3
After the initial certification period of three years, the Bureau may agree to carry out one intermediate survey instead of two annual surveys (for oil tankers only). This decision will be based on ship performance data obtained from industry-recognised inspection systems and compliance with the defined score on the Green Award Ranking requirements as laid down in the Green Award Assessment Criteria. This intermediate survey will normally be carried out one and a half years after the date of issue of the certificate and within a period of three months before, and three months after, this date. Payment of the annual fee will not be affected.

## Article 13 Measures to Rectify Shortcomings, and Sanctions

13.1
If shortcomings are established concerning adherence to the Green Award regulations and requirements by the Certificate Holder, the Bureau can take one of the following measures, depending on the seriousness of the shortcomings:

- Issue a written warning;
- Arrange an extra visit(s) to audit the office or survey the ship at the expense of the applicant, including the necessary travel and accommodation costs;
- Suspend the right to use the certificate and logo for a specific period of time;
- Allow the certificate holder a period of time specified by the Bureau to take corrective measures

13.2
The Bureau has the authority to verify whether adequate corrective measures have been taken at the expense of the applicant, including the necessary travel and accommodation costs.

13.3
If the certificate holder fails to take adequate corrective measures during the specified period, the Bureau will withdraw the certificate.

13.4
After formal notice by the Bureau of withdrawal of a certificate, the company is obliged within 10 working days to return the Green Award Ship Certificate, the Office Certificate, the plaque and flag and to cease and desist utilizing any and all references to the Green Award certificates or logo.

13.5
If the company fails to fully comply with the cease and desist provisions in the above-mentioned Article 13.4, the Bureau reserves the right to take legal action for breach of contract and consequent damages.

## Article 14 Fees

14.1
Application Fee:
As per the current tariff schedule.
This fee includes costs in the initial review and initial ship survey and the right to use the logo after the Green Award certificate has been granted.

14.2
Office Audit Fee:
As per the current tariff schedule.

14.3
Annual fees:
Every successive year after the starting date on which a certificate is issued, the certificate holder will pay an Annual Fee (as per the current tariff schedule) for the right to use the logo. The cost of annual ship surveys is included in this fee.

14.4
Certificate Renewal:
The fee for the renewal of the Office Certificate will be charged on the basis of the Office Audit Fee. The fee for the renewal of the Ship Certificate will be charged on the basis of the Annual Fee on the condition that certification of the ship is uninterrupted.

14.5
All travel and accommodation costs concerning the Office Audit(s) and the Ship Survey(s) are to the customers account.

14.6
If shortcomings are established in the performance of the Certificate Holder in relation to the Green Award Regulations and Requirements and a further audit/survey is required, costs will be to the applicant's account.

## Article 15 Terms of payment

15.1
All fees for the application review and initial audits are payable in advance.

15.2
Invoices, including those for costs of travel and accommodation are payable within 30 days.

15.3
Annual fee for the ships (including fees for the renewal of the Ship Certificate) will be invoiced in the month of certification.

15.4
The fee for the renewal of the Office Certificate will be invoiced after the audit is conducted.

15.5
Refunds:
No refunds will be payable to the applicant for invalidation or cancellation of a certificate by the Bureau.

## Article 16 Withdrawal of Certification

16.1
The certificate holder is responsible for managing the office and maintaining and managing the ship in such a way that during the period of validity of a certificate the certified items in the Green Award Requirements and the procedures and regulations in question are constantly fulfilled. The Bureau is entitled to confirm the observance of the obligations by the certificate holder in accordance with the provisions laid down in the Green Award Regulations.

16.2
The certificate holder must immediately report any deviation from the items listed in the office audit results or ship survey results to the Bureau.

16.3
All changes in the organisation, management and/or ownership of a company and/or ship must be immediately reported to the Bureau.

16.4
A certificate can be withdrawn by the Bureau with immediate or retroactive effect (without legal intervention) if:

- the Bureau is made aware of facts whereby, had these facts been known at the time of the survey and office audit, a certificate would not have been issued;
- the certificate holder fails to fulfil any of the obligations arising from the Green Award Regulations and Requirements after being declared in default about his failure by a registered letter and had not remedied the failed situation within 14 days after the receipt of the registered letter;
- the applicant has not fulfilled his payment obligations;
- during an interim annual survey, it appears that the ship no longer fulfils the list of requirements;
- it has been shown by documented evidence that the ship has illegally discharged waste substances either at sea or in port;
- it has been shown that the ship has caused an accidental discharge and that the ship did not comply with GA requirements at the time;
- the annual survey is not carried out in the period as per the required schedule;
- it appears that the certified ship has been involved in a calamity.

16.5
The Bureau will inform the certificate holder of the certificate withdrawal and the reasons for the withdrawal in writing with regards to the above-mentioned article 16.4.

16.6
The Green Award **Ship** certificate will immediately become invalid without legal notice if:

- Name change of owner/manager or ship is not reported to the Bureau;
- The ship changes owner or manager;
- The certificate holder/shipowner is declared bankrupt;
- The ship is scrapped or disposed of in some other way;
- The ship is no longer classified by a classification society referred to in Article 8.2;
- The certificate holder discontinues the certification;
- The certificate holder is not current in his payments.

16.7
A Green Award **Office** Certificate will no longer be valid if within one year after the withdrawal of a certificate holder's last certified ship, no new applications for ship certification are submitted.

## Article 17 Confidentiality

17.1
The Bureau will be obliged to keep confidential all information concerning third parties which it receives as a result of processing applications and granting certificates except where required by law. This does not apply to information on certificate holders, the offices of the owner/managers, their certified ship(s), the date of certification and certificate number, which is provided to third parties (such as port authorities) for reasons of benefit to the certificate holder.

17.2
The Bureau will be obliged to take all necessary measures to ensure that the Foundation and its staff members maintain confidentiality about all information which has come to their knowledge as a result of the certification process.

17.3
All certified Bureau Auditors and Surveyors will be required to sign a declaration in which the observance of secrecy and impartiality is a fundamental contractual obligation.

## Article 18 Publicity

18.1
The certificate holder is authorized to utilize the Green Award logo while the Green Award Certificate is valid.

18.2
The certificate holder is bound, upon written notification by the Bureau, to withdraw or rectify to the satisfaction of the Bureau any potentially misleading information with regard to the Green Award certificate or the Bureau, which could have a negative effect on the Green Award Foundation.

18.3
During the validity of the Green Award certificate, the Bureau grants the certificate holder the right to publish the certificate, the office audit report and ship survey report as drawn up by Bureau.

## Article 19 Complaints concerning non-fulfilment of GA Requirements

19.1
If a complaint from a third party is submitted to the Bureau in writing, concerning non-fulfilment by a certified ship of the GA certified items, the Bureau will inform the relevant certificate holder of the receipt of the complaint. An investigation will be carried out by or on behalf of the Bureau.

19.2
If a written complaint is submitted to the certificate holder, he will inform the Bureau of the complaint. The certificate holder is obliged to carry out a proper investigation to verify or refute the complaint.

19.3
The investigations should be carried out within a reasonable period of time and the results of the investigations are to be made known to both the Bureau and the party submitting the complaint. If the complaint is found to be partially or fully legitimate, Article 16.4 and Article 16.6 or Article 13 will apply.

19.4
If the complaint submitted to the Bureau proves to be unfounded, the costs of the investigation may be at the expense of the party submitting the complaint. The Bureau may, for reasons of fairness, waive these costs completely or partially. If the complaint is found to be legitimate, the costs of the investigation will be at the expense of the certificate holder.

19.5
Both the Bureau and the certificate holder will be obliged to register complaints received. The settlement of these complaints should also be registered and, if it concerns a legitimate complaint, the certificate holder should also take the necessary measures to prevent re-occurrence.

19.6
If the above-mentioned investigations indicate that the complaint may be attributed to the wrongful certification of a ship or certification on the grounds of an assessment based on inadequate requirements, the Bureau will take immediate corrective measures.

## Article 20 Applicable law

20.1
Dutch law will apply to any disputes between the applicant and the Bureau.

20.2
The Court of Rotterdam is to be regarded the competent authority.

## Article 21 Appeal

21.1
The applicant or certificate holder can lodge an appeal against any decision taken by the Bureau within a period of 30 days after he is informed of the decision. The appeal procedure is described in the "Board of Appeal Regulations" published in the most recent version of the “Seacure for Operations”.

## Article 22 Liability

22.1
Neither the Green Award Foundation nor the Bureau, nor those contracted by the Foundation or the Bureau are liable to the certificate holder for damages connected with the certification process or the termination of the validity of the Green Award certificate.

22.2
The certificate holder shall indemnify the Green Award Foundation and the Bureau and those contracted by the Foundation and/or the Bureau against any claims for damages from third parties in relation to the application of the certification process, or the withdrawal or the granting of a Green Award certificate.

## Annex 1 Categories of Ships to which the Green Award Regulations apply

**OIL TANKERS from 20,000 ton dwt and above.**

Definition of Oil Tankers:

1) A ship classed by an IACS member as "Oil Tanker" which is constructed primarily to carry oil in its cargo spaces. Excluded from this are ships designed and constructed as Oil Bulk Ore Carrier (OBO).

2) A ship classed by an IACS member as "Oil and Chemical Tanker" or "Product Carrier" which is constructed to carry oil or chemicals in its cargo spaces. Excluded from this are ships which are actively involved in the trade of chemicals as per MARPOL Annex II.

**BULK CARRIERS from 20,000 ton dwt and above.**

Definition of bulk carriers:

1) A ship classed by an IACS member as "Bulk Carrier" which is constructed generally with single deck, double bottom, hopper side tanks and with single or double side skin construction in cargo length area and intended primarily to carry dry cargoes in bulk. Excluded from this are ships designed and constructed as Oil Bulk Ore Carrier (OBO).

2) A ship classed by an IACS member as e.g. "General Cargo Carrier" which is constructed generally with single deck, double bottom, side tanks, open hatch, with single or double skin construction in cargo length area (vessel may be constructed with box-shaped holds) and constructed and classed to withstand the strengths to load / unload and carry dry cargoes in bulk.

**GAS CARRIERS (no DWT- threshold limitation)**

Definition of LNG carrier:

A ship classed by an IACS member as "Gas Carrier" which is constructed solely to carry Liquefied Natural Gas (LNG) in bulk in its cargo spaces.

**CHEMICAL TANKERS (no DWT- threshold limitation)**

Definition of chemical tanker:

A ship constructed for the carriage in bulk of any liquid product listed in chapter 17 of the International Bulk Chemical Code.

**CONTAINER CARRIER (LoA ≥ 180 metres)**

Definition of container carrier:

A ship constructed for the carriage of standard-sized containers only.

## Annex 2 Application Form

The Green Award Application Form, as part of the Green Award Regulations, can be found on the Green Award website (http://www.greenaward.org). The Application Form can be utilised to initiate the certification process.

## Annex 3 Green Award Requirements

Detailed requirements are documented in a separate publication per different ship types in Annex 3 (please consult the latest requirements, which can be downloaded from http://www.greenaward.org):

- 3a Green Award Requirements (Oil tanker)
- 3b Green Award Requirements (Bulk carrier)
- 3c Green Award Requirements (LNG carrier)
- 3d Green Award Requirements (Chemical tanker) – expected at the end of 2011
- 3e Green Award Requirements (Container carrier) – expected at the end of 2011

## Annex 4 Green Award Regulations Inland Shipping

The Green Award Regulations for Inland Shipping provide all information about the Green Award scheme for inland shipping.

For practical reasons, these regulations are available separately.

# 8. ASSESSMENT CRITERIA

## 8.1 General information

By means of audits carried out at the owner's/manager's office and surveys carried out on the respective vessels, compliance with the requirements will be assessed. The Green Award auditors/surveyors will use risk assessment techniques to categorise the findings on the Basic requirements for both the office and vessel, and those from the visual inspection on board.

**List of reports, which will be sent to the applicant regarding the audit/survey results:**

- report on the course of the audit (time, persons, departments and findings);
- reports for each individual finding on the Basic requirements, Ranking requirements and Visual inspection. These reports will show the status of the finding (observation, non conformity or major non conformity for Basic requirements and Visual inspection items; Improvement Note for Ranking requirements).
- * Checklist showing results with respect to the Basic requirements;
- * Checklist showing results with respect to the Ranking requirements, and the total score obtained.

* Only for Initial and Renewal ship surveys and office audits

Certification will be based on the results from both the Basic requirements and the Ranking requirements. On board the vessel, the visual inspection list is used to inspect the technical and physical condition of the vessel. Negative results from the visual inspection will be reported under findings for the Basic requirements.

## 8.2 Assessment Criteria

*Basic requirements and Visual inspection*

| **Norms** | **Maximum number of MNC, NC en Obs permitted** | | |
|---|---|---|---|
| | **MNC[1]** | **NC[2]** | **Obs[3]** |
| * ISM Code and Guidelines, 2010 Edition<br>* SOLAS, Consolidated Edition 2009<br>* MARPOL, Consolidated Edition 2006<br>* STCW including 2010 Manila Amendments, 2011 Edition | 0 | 4 | 10 |

**Abbreviations**

MNC Major Non Conformity
NC Non Conformity
Obs Observation

**For Initial and Subsequent Audits/Surveys**

[1] Certificate denied if MNC ≥ 1: re-office audit / re-ship survey required.

[2] Certificate granted if NC's ≤ 4 & if objective evidence is received within a time limit* agreed by the Bureau Green Award and the auditee, that the NC's have been corrected. **
Subsequent audits: certificate temporarily withdrawn if NC's > 4.
If NC's are corrected within a time limit* agreed by the Bureau Green Award and the auditee, the certificate will be re-instated. **

[3] Certificate granted if Obs ≤ 10 and if objective evidence is received within a time limit* agreed by the Bureau Green Award and the auditee, that the Obs have been corrected. **
Subsequent audits: certificate temporarily withdrawn if Obs > 10.
If Obs are corrected within a time limit* agreed by the Bureau Green Award and the auditee, the certificate will be re-instated. **

* The agreed time limit will be based on a risk assessment of the findings and will not exceed one year.

** If N/C and Obs are not corrected within the agreed time limits, findings classified as an observation can be upgraded to a non-conformity at the discretion of the surveyor/auditor.
Alternatively, the certificate can be temporarily or permanently withdrawn depending on the nature of the findings.

*Visual inspection*

Findings related to the visual inspection will be reported under the Basic Requirements. Based on the number and seriousness of the findings and a risk assessment thereof, the auditor may decide to stop the certification process. This will occur only after consultation with the Green Award head office. If the certification process is stopped, the owner/manager will be given the opportunity for a second opinion from either the local classification representative office or Port State Control.

*Ranking requirements*

For Green Award certification, scores are to be achieved on a range of norms that reflect all aspects of a ship and ship operations. These norms are listed under the Green Award Ranking Checklists as General, Navigation/Bridge Operations, Machinery/Engine Operations, Cargo/Cargo Operations, Prevention of Pollution, Maintenance/Surveys, Crew and ISO 9001/2008. These norms are divided into specific elements, under which individual items are listed.

For each element a certain minimum score must be obtained and in order to be eligible for a Green Award Certificate, a minimum total score for the entire Ranking Checklist must be obtained.

If the minimum score is not obtained in any element an Improvement Note will be issued.
A Green Award Certificate will be granted or the Green Award certification will be endorsed (annual/intermediate ship surveys) if the number of Improvement Notes issued is ≤ 4 and if objective evidence for improvement on the findings is verified by Bureau Green Award within a time limit* agreed by the Bureau Green Award and the auditee. This applies to Initial and Renewal office audits and Initial, Annual, Intermediate and Renewal ship surveys.

The implementation and effectiveness of the corrective action will be verified at the discretion of the Bureau Green Award in accordance with the Green Award Requirements. This will usually be done during the next office audit or ship survey or can be verified by documentary evidence within the agreed time limit.

* = The agreed time limit will be based on a risk assessment of the findings and will not exceed one year.

The Green Award Foundation has the right to withdraw the certificate if findings are not corrected within one year or within the agreed time limit.

# 9. BOARD OF EXPERTS REGULATIONS

## Article 1 Definition of terms

In these regulations, the terms below are understood to mean the following:

| | |
|---|---|
| The Committee | The General Committee of the Foundation Green Award |
| The Bureau | The Green Award's executive body |
| The BoE | The Board of Experts, active for both sea and inland shipping |
| The Green Award Regulations | The regulations governing the Green Award |

## Article 2 Composition of the BoE

**2.1**
The BoE shall consist of at least one representative from each of the following groups:
- Science
- Shipowners' associations
- Maritime authorities
- Shipbuilding
- Insurance
- Port authorities
- Shippers and parties with an interest in the cargo
- Environmental organisations
- IACS or an IACS member
- Education
- Inland shipping
- Other supporting organisations

**2.2**
If necessary, the BoE can invite experts in specific fields to attend one or more of its meetings. These experts shall act in an advisory capacity to the BoE as described for the BoE in Article 5.2 of the Green Award Regulations.

By virtue of his office, the Managing Director or the Deputy Managing Director of the Bureau shall be an advisory member of the BoE; he shall not have a vote.

## Article 3 Appointment

**3.1**
Without prejudice to the provisions of Article 2, the Committee, on the recommendation of the BoE shall appoint BoE members.

**3.2**
The Committee shall appoint a Chairman, who may or may not be a member of the BoE. No recommendations shall be requested for the appointment of the Chairman.

**3.3**
Vacancies shall be filled within three months. The BoE shall retain its full powers, even if it is incomplete.

**3.4**
If the BoE has not made a recommendation within three months after a vacancy occurs, the Committee shall be free to appoint someone.

**3.5**
All BoE members can at all times be suspended or dismissed by the Committee. If the Committee suspends a BoE member, it shall decide either to dismiss the member concerned or lift the suspension against this member within two months of the suspension taking effect. If not, the suspension shall be cancelled automatically. Any meeting dealing with a proposal to suspend or dismiss a member shall be arranged at least three weeks in advance.

**3.6**
BoE members shall be appointed for a period of no more than three years. The maximum term of appointment will be 3 terms (9 years). No one aged seventy or over shall be eligible.

**3.7**
BoE members shall resign in accordance with a schedule of resignation drawn up by the BoE, and based on the principle that one third of the BoE membership shall resign each year. Any member resigning in accordance with the schedule may be re-appointed forthwith. Anyone fulfilling an interim vacancy shall take his predecessor's place in the schedule of resignation.

## Article 4 Procedure

**4.1**
The BoE shall meet at least once annually and in any case, as often as is necessary to ensure its proper functioning.

**4.2**
BoE meetings shall be convened in writing, while stating the subjects to be dealt with, by either the Chairman, or by at least half the other BoE members, or by the Managing Director of the Bureau. Meetings shall be arranged at least two and no more than six weeks in advance.

**4.3**
Any advice to be given by the BoE is decided by a majority vote.

**4.4**
If the votes are equally divided, the proposal shall be dismissed.

**4.5**
The BoE can only take legally valid decisions if at least half the members are either present or represented. If the meeting has been informed, by way of written notification, of an absent member's exact opinion on an issue to be decided, the opinion of the absent member shall constitute a valid vote.

## Article 5 Fees and Advances

**5.1**
BoE members do not receive any fees.

**5.2**
The Green Award Foundation shall reimburse, within reason, BoE members' travelling and accommodation expenses, as well as the costs of secretarial assistance, conference accommodation for the meetings, and all costs of postage, telephone, telex and fax.

## Article 6 Miscellaneous and final provisions

**6.1**
For the rest, and subject to the provisions of these regulations, the BoE shall have full independence in determining its procedures.

**6.2**
These regulations can be referred to as the "Board of Experts Regulations"

## 10. BOARD OF APPEAL REGULATIONS

### Article 1 Definition of terms

In these regulations, the terms below are understood to mean the following:

| | |
|---|---|
| **The Committee:** | The General Committee of the Green Award Foundation |
| **The Bureau:** | The Green Award's executive body |
| **The BoA:** | The Board of Appeal, active for both sea and inland shipping |
| **The BoE:** | The Board of Experts, active for both sea and inland shipping |

### Article 2 General

**2.1**
The Board of Appeal (BoA) is charged with deciding appeals against any of the Green Award's decisions against which a Green Award applicant or certificate holder can lodge a complaint under the Green Award Regulations.

**2.2**
If the certificate is to be withdrawn or other (corrective) measures taken in the event of failings or inadequacies, applicants or certificate holders appealing against the said decision or measure can simultaneously submit a request, stating their reasons, to have the said decision or measure fully or partially suspended. The Chairman of the Board of Appeal shall pass a substantiated judgement as soon as possible after having received the said request.

### Article 3 Composition

**3.1**
The BoA shall consist of three independent members, to be appointed by the Committee for a period of five years. One of these three members shall be appointed Chairman by the Committee. The Bureau shall provide the BoA with a secretary, who shall not be a member of the BoA.

**3.2**
The appointment of the BoA must exclude any possible conflict of interests between appellants and/or Committee members on the one hand and members of the BoA on the other.

**3.3**
The Chairman of the BoA shall have the Dutch degree of "Meester in de rechten" ("Master of Laws").

## Article 4 Institution of appeal procedures

**4.1**
Any appeal must be lodged within 30 calendar days after the applicant or certificate holder has been informed of the decision or measure against which they wish to appeal.

**4.2**
Appeals are lodged by sending a substantiated written appeal by registered mail to the Managing Director of the Bureau, who shall forthwith present it to the secretary of the BoA.

**4.3**
On submission of the appeal, the appellant will have to pay a deposit of € 1,500 for subsequent settlement of any costs payable by him and incurred in the course of these appeal proceedings.

## Article 5 Enquiries

The BoA shall be free to make enquiries of staff at the Bureau - including any external experts involved in assessing the vessel in question - or members of the Committee and/or members of the BoE.

## Article 6 Confidentiality

Members of the BoA shall keep confidential everything they discover or learn in the course of their duties about the person, the vessel, or the private or business affairs of the appellant.

## Article 7 Procedure

**7.1**
As soon as the written appeal and the deposit referred to in Article 4.3 have been received, the secretary shall forthwith notify the Chairman and the other members of the BoA. If the deposit has not been received within the term of appeal, the secretary shall grant the appellant an extension of eight calendar days, notice of which is to be sent by registered mail. If the deposit has not been paid after this period has elapsed, the appeal shall be dismissed.

**7.2**
The BoA has the right to hear witnesses, consult experts and take all such measures and make all such arrangements as it deems necessary for correct judgement, including holding one or more sessions.

**7.3**
If the Chairman of the BoA deems it necessary to hold a session, he or she shall determine its place, date and time as soon as possible and shall immediately notify the secretary thereof. The secretary will then notify the Managing Director of the Bureau and the appellant as soon as possible, but no later than fourteen calendars days before the date of the session.

**7.4**
Both the appellant and the Bureau shall be entitled to assistance from witnesses. In addition, both the appellant and the Bureau have the right to be represented and assisted by counsel.

## Article 8 Judgement

**8.1**
The members of the BoA shall judge justly and fairly; they are, however, bound by the Articles of the Green Award Foundation and Green Award Regulations.

**8.2**
The BoA shall decide the instituted appeal proceedings by a majority vote and shall inform the parties of its decision in writing, stating its reasons, within fourteen days after the decision is made. The BoA's judgements shall be binding upon the parties.

**8.3**
Simultaneously with its decision, the BoA shall determine both the costs of the proceedings, excluding costs for legal advice, and the party or parties, which will have to pay all or part of these costs.

**8.4**
In the event that the appellant shall be ordered to pay the costs referred to in Article 8.3, either fully or in part, these costs shall be deducted from the appellant's deposit referred to in Article 4.3. The balance, if any, shall forthwith be refunded to the appellant. If the deposit should prove insufficient to cover the costs, the appellant shall be obliged to settle the amount payable with the Bureau within fourteen days after the date of judgement referred to in Article 8.2.

**8.5**
The BoA shall be obliged to decide any appeal within four months after it has been lodged with the Managing Director of the Bureau.

**8.6**
The BoA's judgement shall be signed by the Chairman and the Secretary, and the latter shall send a copy to the parties concerned by registered mail. The original shall be filed in the BoA's archives.

## Article 9 Miscellaneous and final provisions

**9.1**
The appeal procedure described above does not deprive anyone of the right to appeal in a civil court against any decision taken by Green Award.

**9.2**
Dutch law shall apply to civil court proceedings.

**9.3**
The BoA shall decide all cases not provided for in these regulations.

**9.4**
These regulations can be referred to as the "Board of Appeal Regulations".

## 11. GREEN AWARD TARIFFS

Green Award tariffs will be endorsed by the Committee of the Green Award Foundation annually. The tariffs for the respective category of vessels can be downloaded from the Green Award website, http://www.greenaward.org. Participating owners/managers will be informed about revisions to the Green Award tariffs. New applicants or prospective applicants will receive, together with this document and relevant appendices, a copy of the Green Award tariffs.

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