

Title:

# CERTIFICATE AND SURVEY MANUAL

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CERTIFICATE AND SURVEY REQUIREMENTS INTRODUCTION			

The purpose of the company's management system is to define and communicate company leadership's values, beliefs and expectations. This provides direction so that people can align their efforts and determine the best methods to achieve the desired result.

The company management system establishes consistent performance standards across the company's worldwide operation; describes processes for monitoring results, improving performance, and capturing and sharing lessons learned; and provides people with the opportunity to align their understanding of expectations, make personal commitments, and to apply their efforts to meet performance standards.

The Company Management System includes performance standards established at all three levels: Level 1 – Corporate, Level 2 – Region and District, and Level 3 – Installation.

This manual represents a Level 1B document within the Company Management System. Its purpose is to communicate the Operations group performance standards. The VP Engineering and Technical Services and the VP Technology and Performance are the designated owners of this document and are responsible for its content and implementation.

Company personnel with certification and survey responsibilities must understand and comply with the Company-approved certification and survey policy and procedures. The Certificate and Survey manual includes procedures which describes the performance standards to meet the following policy.

Administration-Certificate and Survey, Operations Policy and Procedures Manual, HQS-OPS-PP-01, Section 2.1:


***All Installations and facilities must comply with applicable Classification Society Rules, Flag State Requirements and Coastal State Regulations.***

Procedures represent mandatory requirements to meet policies. Procedures are represented by statements that include the term "must" "will" or "shall." Procedures focus responsible personnel on required key actions and decisions.

Additionally, included in the Certificate and Survey manual are Recommended Practices. Recommended Practices represent reliable knowledge and methods for a particular process or activity proven through experience. Because their application may be specific in nature they cannot always be applied as described, and therefore are not mandatory to follow, but they are strongly endorsed and supported by Corporate Management as the best way to perform a given task or process. Recommended practices when not specifically stated are represented by statements that include the term "should" or "may."

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Recommended changes to the procedures in this manual are submitted to Quality Services through the SMART process, (see the Company Management System Manual, HQS-CMS-GOV, in Section 5.1). The SMART (System Management and Review Team) process enables people at different levels in the Company (Corporate, Region, and Installation) to propose and implement changes to the Company Management System through the individual Core Management Functions.

The relationship between this manual and the other Management System documents is found in the Company Management System Manual, HQS-CMS-GOV, in Section 5.2.

In the responsibilities detailed in this manual there is a letter (D), (I), or (A) noted after each job category with a responsibility. The meaning behind each of these letters is detailed below:

(D) – Direct Responsibility:

This job category has a Direct Responsibility for a Policy/Procedure. This means that the employee is responsible for performing some specific action(s) that are required.

(I) – Indirect Responsibility:


This job category has an Indirect Responsibility for a Policy/Procedure. This means that the employee is responsible for ensuring that some specific action(s) are performed that are required.

(A) Aware:

This job category has a responsibility to be Aware of the Policy/Procedure in certain situations.

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<b>CERTIFICATE AND SURVEY REQUIREMENTS</b> <b>RESPONSIBILITIES</b>			

## 1 RESPONSIBILITIES

### 1.1 RIG MANAGER (D)

The Rig Manager is responsible to ensure the Installation is being operated and maintained to applicable Classification Society Rules, Flag State requirements, and Coastal State Regulations. Ensures that corrective and improvement actions developed from Outstanding Recommendations (OSR's) from CS, Flag and Coastal State inspections are planned and tracked to completion using the FOCUS Planning and Tracking software, or EMPAC (where applicable).

### 1.2 OFFSHORE INSTALLATION MANAGER (D)

The Offshore Installation Manager (OIM) is responsible for their Installation being operated and maintained to applicable Classification Society Rules, Flag State requirements, and Coastal State Regulations. Ensure that corrective and improvement actions developed from Outstanding Recommendations (OSR's) from CS, Flag and Coastal State inspections are planned and tracked to completion using the FOCUS Planning and Tracking software, or EMPAC (where applicable).

### 1.3 RIG DEPARTMENT SUPERVISOR (D)

The Rig Department Supervisor is responsible for their department meeting applicable Classification Society Rules, Flag State requirements, and Coastal State Regulations. Ensure that corrective and improvement actions developed from Outstanding Recommendations (OSR's) from CS, Flag and Coastal State inspections are planned and tracked to completion using the FOCUS Planning and Tracking software, or EMPAC (where applicable).

### 1.4 REGION OPERATIONS MANAGER / DISTRICT MANAGER (I)

The Region Operation Manager/ District Manager is responsible to ensure that Installation and Facility management understand the applicable Classification Society Rules, Flag State requirements, and Coastal State Regulations required to maintain the Installation safely. Monitor the close out of corrective and improvement actions developed in the FOCUS Planning and Tracking software, or EMPAC (where applicable).

### 1.5 FIELD SUPPORT MANAGER (I)


The Field Support Manager is responsible to support Region, District and Installation management to ensure they understand requirements so they will apply resources effectively to meet applicable Classification Society Rules, Flag State requirements, and Coastal State Regulations. Monitor the close out of corrective and improvement actions developed in the FOCUS Planning and Tracking software, or EMPAC (where applicable).

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CERTIFICATE AND SURVEY REQUIREMENTS MANDATORY DOCUMENTS - CERTIFICATES/LICENSES			

## 1 MANDATORY DOCUMENTS - CERTIFICATES/LICENSES

The following are Mandatory Documents required on Company Installations:

### 1.1 CLASS

- Certificate of Class

### 1.2 FLAG

- Certificate of Registry
- Minimum Safe Manning Certificate (MSMC)
- Annual Tonnage Tax Receipt
- Ship Radio Station License
- Seafarer's identification and record books (SIRB's) as applicable
- Marine/MODU Licenses as per the Minimum Safe Manning Certificate (MSMC)

### 1.3 STATUTORY


- Load Line Certificate
- Tonnage Certificate
- MODU/MOU Certificate (as applicable)
- IOPP Certificate
- ISM Code SMC; DOC (copy as applicable)
- ILO Certificate (as applicable)
- GMDSS (SBMC) (as applicable)

### 1.4 PUBLICATIONS

- Flag State Laws/Regulations i.e. Marshall Islands, Liberia Flags combined publications folder (CPF) MI-300 & RLM 300 respectively, USCG. Codes of Federal regulations; etc.
- Articles of Agreement
- Oil Record Book
- MARPOL 1973/78-1997 (consolidated) Edition
- International Code of Signals
- 1987 Edition with 94 amendments
- SOPEP

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<b>CERTIFICATE AND SURVEY REQUIREMENTS</b> <b>MANDATORY DOCUMENTS - CERTIFICATES/LICENSES</b>			


- SOLAS Consolidated edition, 1997
- 1979/1989 MODU Code as applicable
- Medical Log Book
- Captains Medical Guide
- Accident Prevention Code
- Radio Regulations, ITU Blue Book
- COLREGS 1972

#### 1.5 COASTAL STATE

As deemed necessary by Coastal State Regulations

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CERTIFICATE AND SURVEY REQUIREMENTS CLASSIFICATION SOCIETY STANDARDS / RULES			

## 1 CLASSIFICATION SOCIETY STANDARDS/ RULES (CS)

Classification is a non-mandatory process. However, to enable an Installation to operate in international and coastal operations, and obtain insurance coverage, Classification is required. Classification also demonstrates a recognizable technical standard to the Company's stakeholders, customers and to legislators. Classification is also required for flag state registration. In many cases requirements covered by Classification are achieved by compliance with industry standards such as API, ASME, etc. The choice of Classification Society is entirely free to the Company and will be made based upon factors such as:


- Technical competence
- Industry recognition
- Industry experience (track record)
- Local operating conditions
- Customer requirements
- Services provided, and
- Perceived added value to operations

Classification Societies are independent organizations that have developed accepted technical standards for the design, construction and safety of ships, installations and many other marine and industrial objects. These accepted technical standards, developed through industry consultation, are the Rules of the Classification Society. In order to maintain an installation in compliance with the Classification Society Rules, the installation is subject to the scope and extent of surveys stipulated by the Rules and the resulting conditions, requirements or recommendations.

Complying with the Rules of a Classification Society throughout the design, construction and operating life of an installation is termed "Classification". Classification is normally split into main class covering the installation's structure and equipment, and an additional class covering the installation's function, equipment and systems. Main class is required to demonstrate classification. Additional class requirements may be determined at the discretion of the Company. Depending on the Classification Society additional class may be required to be (e.g. Drilling Unit) integrated into the main class.

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The Classification Society is normally appointed at the time of construction of the installation. At any time, during the life of the installation, the Company may decide to change the appointed Classification Society.

Compliance with the Classification Society Standards/Rules is required to retain Classification. Operating and maintaining the installation in accordance with the provisions of the applicable rules and presenting the installation for survey and inspections to the extent and frequency determined by the rules are key aspects to achieving compliance. In all cases, Classification Society Standards/Rules have been developed through the experiences of the offshore and marine industries and present a technical standard for safety. The Company may adopt alternative solutions to those presented or required by the Classification Society, provided those solutions represent a comparable level of overall safety, both technical and operational, and are accepted by the appointed Classification Society.

#### 1.1 CERTIFICATES AND PERIODICAL SURVEYS


In general, all Installations are to be subjected to periodical surveys to ascertain the condition of the structure, machinery, equipment and appliances against the applicable rule requirements. Periodical surveys will, in general, belong to one of the following categories:

- Annual Survey
- Intermediate Survey
- Renewal Survey
- Other Periodical Survey

The main certificates issued and periodical surveys performed by the Classification Societies are as follows:

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Item	Interval (years)	Range (months)	
		Plus	Minus
<b>ABS Certificates</b>			
Classification Certificate (Hull and / or Machinery)	5	0*	3 <sup>†</sup>
<b>Main Class / Functional Additional Class Surveys</b>			
Hull, machinery and equipment Renewal Survey	5	0*	3*
Hull, machinery and equipment Annual Survey	1	3	3
Hull, machinery and equipment Intermediate Survey	2½	9 <sup>‡</sup>	9 <sup>‡</sup>
Annual audit of planned maintenance arrangements	1	3	3
<b>Additional Class Surveys (optional)</b>			
Drilling Equipment (e.g. CDs Class) Renewal Survey	5	0*	3 <sup>†</sup>
Drilling Equipment (e.g. CDs Class) Annual Survey	1	3	3
Lifting Appliances (e.g. R of CG Class) Renewal Survey	5	3	3
Lifting Appliances (e.g. R of CG Class) Annual Survey	1	3	3
Dynamic Positioning System (e.g. DPS-x Class) Periodical Survey	2½	6	6
Positioning Mooring Equipment (e.g. M Class) Renewal Survey	5	0*	3*
Positioning Mooring Equipment (e.g. M Class) Intermediate Survey	2 ½	9 <sup>‡</sup>	9 <sup>‡</sup>
Positioning Mooring Equipment (e.g. M Class) Annual Survey	1	3	3
Unmanned Machinery Space (e.g. ACCU Class) Renewal Survey	5	0*	3 <sup>†</sup>
Unmanned Machinery Space (e.g. ACCU Class) Annual Survey	1	3	3
<b>Notes</b>			
* In exceptional cases (e.g. stuck on well or abnormal operating condition), the CS may accept to extend the range by a maximum of three months.			
† Surveys for renewal may be commenced a maximum of 12 months before due date. If surveys are completed more than 3 months before due date the next renewal will be due 5 years after that completion date.			
‡ Intermediate Surveys are normally to be carried out with the 2 <sup>nd</sup> or 3 <sup>rd</sup> annual survey following Renewal Survey. Parts of the intermediate surveys, which are additional to the annual surveys, may be carried out at or between the 2 <sup>nd</sup> or 3 <sup>rd</sup> annual survey.			

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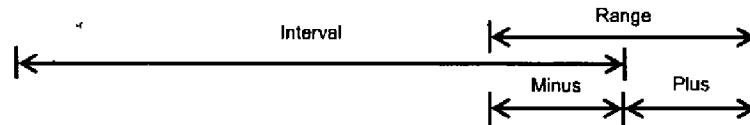
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Item	Interval (years)	Range (months)	
		Plus	Minus
<b>DNV Certificates</b>			
Classification Certificate (Hull and / or Machinery)	5	0*	3 <sup>†</sup>
<b>Main Class / Functional Additional Class Surveys</b>			
Hull, machinery and equipment Renewal Survey	5	0*	3*
Hull, machinery and equipment Annual Survey	1	3	3
Hull, machinery and equipment Intermediate Survey	2½	9 <sup>‡</sup>	9 <sup>‡</sup>
Annual audit of planned maintenance arrangements	1	3	3
Drilling Unit Renewal Survey	5	0*	3 <sup>†</sup>
Drilling Unit Annual Survey	1	3	3
<b>Additional Class Surveys (optional)</b>			
Drilling Equipment (e.g. DRILL Class) Renewal Survey	5	0*	3 <sup>†</sup>
Drilling Equipment (e.g. DRILL Class) Annual Survey	1	3	3
Lifting Appliances (e.g. CRANE Class) Renewal Survey	5	3	3
Lifting Appliances (e.g. CRANE Class) Annual Survey	1	3	3
Dynamic Positioning System (e.g. DYNPOS Class) Periodical Survey	2½	6	6
Positioning Mooring Equipment (e.g. POSMOOR Class) Renewal Survey	5	0*	3*
Positioning Mooring Equipment (e.g. POSMOOR Class) Intermediate Survey	2 ½	9 <sup>‡</sup>	9 <sup>‡</sup>
Positioning Mooring Equipment (e.g. POSMOOR Class) Annual Survey	1	3	3
Unmanned Machinery Space (e.g. E0 or ECO Class) Renewal Survey	5	0*	3 <sup>†</sup>
Unmanned Machinery Space (e.g. E0 or ECO Class) Annual Survey	1	3	3
<b>Notes</b>			
* In exceptional cases (e.g. stuck on well or abnormal operating condition), the CS may accept to extend the range by a maximum of three months.			
† Surveys for renewal may be commenced a maximum of 12 months before due date. If surveys are completed more than 3 months before due date the next renewal will be due 5 years after that completion date.			
‡ Intermediate Surveys are normally to be carried out with the 2 <sup>nd</sup> or 3 <sup>rd</sup> annual survey following Renewal Survey. Parts of the intermediate surveys, which are additional to the annual surveys, may be carried out at or between the 2 <sup>nd</sup> or 3 <sup>rd</sup> annual survey.			

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Due to special operational conditions, construction and other equipment main class, functional additional class, and optional additional class notations may be required. For example, drilling vessels equipped to carry or store quantities of crude oil may be required to comply with the same requirements as oil tankers.

For economic, operational or contractual reasons, it is possible that an Installation may be subject to classification by more than one CS under the concept known as "Dual Class". Further, certain discrete items of equipment or systems may be formally classed by a society that is not the CS for the rest of the installation (e.g. dynamic positioning systems, drilling plant and diving / ROV spreads).

Reference must, therefore, always be made to the classification documentation for the Installation to determine the applicable certificates, surveys and societies.

## 1.2 OTHER SURVEYS


Under Classification Society Rules, the Installation may be subject to survey and inspection out-with the normal periodical survey requirements. Examples of these are, following damage to the Installation, when conditions placed on the installation by the society are completed, and when modifications effecting the classification of the Installation are carried out.

Items of equipment, components or systems, including third party equipment, being installed on, or incorporated into, the Installation may be subject to the CS rules, including surveys.

The rules of the CS must be verified in each case. If there is any doubt about when or when not to involve the CS, contact must be made with the Classification Society for confirmation.

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### 1.3 ALTERNATIVE SURVEY ARRANGEMENTS

The survey of the machinery components, items of hull structure and items of equipment covered by Classification may be performed by alternative means. The actual agreed means will be stated in the Classification papers for the installation but can be generalized as follows:

#### 1.3.1 (A) CONTINUOUS SURVEYS

The CS may survey items over a 5-year continuous cycle.

#### 1.3.2 (B) SURVEYS BY "CHIEF ENGINEER"

Surveys on machinery components may be surveyed by the person responsible for the maintenance of the machinery installation over a continuous cycle. Scope of survey depends on whether rig is ABS or DNV Class.

#### 1.3.3 (C) SURVEYS BASED ON AN APPROVED PLANNED MAINTENANCE SYSTEM

This arrangement is based on the CS accepting that the planned maintenance system put in place on the installation meets or exceeds the requirements for survey laid down by the CS Rules.

#### 1.3.4 (D) SURVEYS BASED ON CONDITION MONITORING SYSTEM

This arrangement is based on the CS accepting that there is a system in place for monitoring the condition of items covered by the rules. Special conditions on the extent of required surveys will be made.

Should any of the above be desirable alternative methods for complying with CS requirements, the Rig Manager (or nominee) must make written application to the CS. The application should make reference to the relevant section of the CS rules and documentation as required by the rules forwarded with the application.


### 1.4 SERVICES RELATED TO CLASS

The CS may accept, or require, services performed by other parties, including Transocean personnel, as part of the surveys stipulated by the rules. Such services may be non-destructive testing, thickness measurements, visual inspection, diving

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inspection, pressure testing, and maintenance by original manufacturer or recognized Service Company, etc.

In such cases the extent and methods of the services to be performed by other parties must be agreed in advance of the survey with the CS and results properly documented.

## 1.5 STATUS OF CERTIFICATES AND SURVEYS

The CS provides an updated list of the status of Classification of the installation. The lists will include the due dates for the applicable Class Surveys and Certificates and the requirements and due dates of conditions of class, limitations or memoranda recorded against the installation. The lists will also provide expiration and survey dates of Statutory Certificates issued by the CS on behalf of the Flag State or Coastal State. This information is available on electronic format (e.g. ABS Safenet and DNV Exchange).

The Rig Manager, Offshore Installation Manager, or applicable Rig Department Supervisor, must review the status periodically to ensure that up-and-coming surveys, certificates and conditions are planned for and are taken care in good time. The review must also ensure that the status as reported by the CS agrees with the status being assumed by the Company for the installation. Any discrepancies must be investigated and corrected.

## 1.6 PERFORMANCE OF SURVEYS AND CONDITIONS

The Rig Manager must ensure that the installation is made available for survey by the CS within the time frames stipulated to retain validity of the relevant Surveys and Certificates. The Rig Manager and Offshore Installation Manager must also ensure that means have been taken to provide safe physical access as required to perform the surveys. *(Refer also to HQS-HSE-PP-01, HSE Policy and Procedures Manual).*


The scope of surveys and inspections to be carried out should be discussed with the CS to enable proper preparations to take place (e.g. access to tanks and spaces, tests, documentation, personnel, etc.).

As far as practicable, normal, scheduled periodical surveys should be planned to reduce the impact on operations.

The Rig Manager and Offshore Installation Manager must ensure that all conditions placed on the Installation by the CS are performed within the due dates. When the condition has

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been performed the Rig Manager (or nominee) must inform the CS in writing of the steps taken to meet the condition and the actual completion date.

## 1.7 POSTPONEMENT OF SURVEYS AND CONDITIONS

Under special circumstances, the CS may accept to postpone periodical surveys upon consideration in each separate case. If postponement is granted, the CS will place a condition against the installation stating the time limit for postponement and any additional measures to be taken.

The CS may also grant postponement of conditions of other types placed on the installation.

If any postponement is sought, the Rig Manager (or nominee) must make written application to the CS in good time before the original due date. The application must state the reasons for seeking postponement, the anticipated duration required for the postponement and any temporary technical or operational measures that will be put in place during the postponement period.

## 1.8 CONTACTING THE CLASSIFICATION SOCIETY


To organize the attendance of the CS representative to perform surveys, or any other service, the Rig Manager (or nominee) should contact the local office of the society, the main office of the society or the individual or office specified as the point-of-contact with the society. The Rig Manager (or nominee) should be familiarized with the contact formalities for the local representation of the relevant Classification Society.

Any other correspondence (including requests for information, certificates, declarations, etc.) or contact should be routed through the local office of the society, the main office of the society or the individual or office specified as the point-of-contact with the society.

The following are the contact addresses for the main offices of the three Classification Societies currently accepted by the Company (local contact address details can be found in the directory of the applicable society, copies of which can be obtained by contacting the main offices listed below):

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CERTIFICATE AND SURVEY REQUIREMENTS CLASSIFICATION SOCIETY STANDARDS / RULES			

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<b>CERTIFICATE AND SURVEY REQUIREMENTS</b> <b>FLAG STATE REQUIREMENTS</b>			

## 1 FLAG STATE REQUIREMENTS

In order to freely engage in international operations, an Installation must be accepted by a recognized maritime authority (nation). The Installation is then entitled to fly the flag of that nation and receives the legal protection from within the international maritime community afforded by that nation. This nation is then termed the Flag State and the "Certificate of Registry/Registration", "Nationality Certificate" or "Navigation License" demonstrates the acceptance of an Installation into the shipping register of the Flag State.

In this context an Installation is wholly analogous to a cargo ship trading between ports in different countries. Like a cargo ship trading between ports in different countries an Installation needs to be able to demonstrate compliance with the requirements recognized by the international maritime community. This demonstration of compliance is achieved by means of certificates, licences, trading certificates, etc. Operating and maintaining the installation in accordance with the conditions of the relevant Flag State requirements, presenting the installation for survey, inspections to the extent, and frequency determined by the requirements achieve retention of the certificates.


Flag State requirements cover items such as, design and construction, stability, freeboard, watertight integrity, fire fighting appliances and lifesaving equipment, pollution prevention, radio installations, manning levels and competence, navigation, normal and emergency operation, mooring and position keeping, etc. These requirements are presented under a series of internationally recognized conventions, protocols and codes, usually sponsored by the International Maritime Organization (IMO), a specialized agency of the United Nations devoted to maritime affairs.

The main conventions, protocols and codes affecting mobile offshore units are:

- Safety of Life at Sea Convention of 1974 (SOLAS 1974), with Protocol of 1978 and subsequent amendments;
- IMO Code for the Construction and Equipment of Mobile Offshore Drilling Units, 1979 and 1989 (IMO 1979 / 1989 MODU Code) and subsequent amendments;
- International Convention on Load Lines, 1966 (ILLC 1966) and subsequent amendments;
- International Convention for the Prevention of Pollution from Ships, 1973, with Protocol of 1978 (MARPOL 73/78) and subsequent amendments;

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- Convention on the International Regulations for Prevention of Collision at Sea, 1972 (COLREG 1972) and subsequent amendments;
- International Convention on Tonnage Measurement of Ship, 1969.

Certain flag state administrations have introduced their own interpretations of these requirements. These must be followed when the installation is registered with that flag state. While most flag state administrations have adopted the MODU Code for installations, either unaltered (e.g. Panama) or with national interpretations (e.g. Norway), some follow the requirements of SOLAS (e.g. United Kingdom) while others give the owner the opportunity to choose (e.g. Bahamas). In many cases, Flag State requirements will make reference to Classification Society Rules or Coastal State requirements on specific issues such as drilling and well control equipment.

This procedure will deal with the main requirements for the principal flag states chosen by the Company. However, it is the responsibility of the Rig Manager and the Offshore Installation Manager to be familiarized, as necessary, with the specific requirements of the Flag State. The principles required to comply with the requirements of the Flag State are given in the applicable regulations.


The Rig Manager is responsible for ensuring that the Installation is maintained and operated in accordance with the applicable regulations. The Rig Manager is also responsible for ensuring that the Installation is made available and prepared for the required surveys and inspections by the agencies acting on behalf of the Flag State in good time before expiry of the certificates. Further, the Rig Manager is responsible for ensuring that conditions placed on the installation by the agencies acting on behalf of the Flag State are performed or met within the due dates.

The Marine Administrations of Flag States have, to a greater or lesser extent, delegated authority to act on their behalf to certain Classification Societies. The extent of authorization delegated should be clarified with the Flag State. Where there exists authorization of the CS by the Flag State, surveys and certificates required to comply with the requirements of the flag state should, as far as possible, be conducted simultaneously with the CS surveys.

The following tables summarize the certificates, documents, surveys and inspections required for complying with the requirements of the Flag States currently used by the Company together with contact / issuing agencies. In addition, the relevant fees and taxes must be paid as required. It should also be noted that there are personnel certification requirements as stated in the Minimum Safe Manning Certificate.

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<b>BAHAMIAN FLAG</b>		
<b>Description</b>	<b>Contact</b>	<b>Validity</b>
Certificate of Registry	BMA	N/A
Minimum Safe Manning Certificate	BMA	N/A
Radio License	NSSL/Tel	N/A
Annual Nautical Inspection	BMA	1 year
International Tonnage Certificate	CS	N/A
International Load Line Certificate	CS	5 years
Renewal Survey for International Load Line Certificate	CS	5 years
Annual Survey for International Load Line Certificate	CS	1 year
IOPP Certificate	CS	5 years
Renewal Survey for IOPP Certificate	CS	5 years
Intermediate Survey for IOPP Certificate	CS	*
Annual Survey for IOPP Certificate	CS	1 year
Alternative 1 <sup>†</sup>		
SOLAS Cargo Ship Safety Construction Certificate	CS	5 years
Renewal Survey for SOLAS Cargo Ship Safety Construction Certificate	CS	5 years
Mandatory Annual Survey for SOLAS Cargo Ship Safety Construction Certificate	CS	1 year
SOLAS Cargo Ship Safety Equipment Certificate	CS	2 years
Renewal Survey for SOLAS Cargo Ship Safety Equipment Certificate	CS	2 years
Mandatory Annual Survey for SOLAS Cargo Ship Safety Equipment Certificate	CS	1 year
SOLAS Cargo Ship Safety Radio Certificate	CS	1 year
Renewal Survey for SOLAS Cargo Ship Safety Radio Certificate	CS	1 year
Alternative 2 <sup>†</sup>		
MODU Code Certificate	CS	5 years
Renewal Survey for MODU Code Certificate	CS	5 years
Safety Equipment Survey for MODU Code Certificate	CS	2 years
Annual Survey for MODU Code Certificate	CS	1 year
Radio Installation Survey for MODU Code Certificate	NSSL <sup>‡</sup>	1 year
ISM-Safety Management Certificate-SMC +	RO	5 years
ISM-Document of Compliance-DOC +	RO	5 years
<b>Notes:</b> <ul style="list-style-type: none"> <li>* Carried out simultaneous with 2<sup>nd</sup> or 3<sup>rd</sup> Annual Survey</li> <li>† Owner has the option of choosing between following SOLAS convention and MODU Code.</li> <li>‡ Coastal States representing agency may carry out surveys of radio installation</li> <li>+ Applicable to ISM Certified Installation only</li> </ul>		

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<b>MARSHALL ISLANDS FLAG</b>		
<b>Description</b>	<b>Contact</b>	<b>Validity</b>
Certificate of Registration	MI	N/A
Minimum Safe Manning Certificate	MI	N/A
Radio License	NSSL	N/A
International Tonnage Certificate	CS	N/A
International Load Line Certificate	CS	5 years
Renewal Survey for International Load Line Certificate	CS	5 years
Annual Survey for International Load Line Certificate	CS	1 year
IOPP Certificate	CS	5 years
Renewal Survey for IOPP Certificate	CS	5 years
Intermediate Survey for International Oil Pollution Prevention Certificate	CS	*
Annual Survey for IOPP Certificate	CS	1 year
MODU Code Certificate	CS	5 years
Renewal Survey for MODU Code Certificate	CS	5 years
Safety Equipment Survey for MODU Code Certificate	CS	2 years
Annual Survey for MODU Code Certificate	CS	1 year
Radio Installation Survey for MODU Code Certificate	NSSL <sup>†</sup>	1 year
ISM-Safety Management Certificate +	RO	5 years
ISM-Document of Compliance-DOC +	RO	5 years
<b>Notes:</b> <ul style="list-style-type: none"> <li>* Carried out simultaneous with 2<sup>nd</sup> or 3<sup>rd</sup> Annual Survey</li> <li>† Coastal States representing agency may carry out surveys of radio installation</li> <li>+ Applicable to ISM Certified Installations only</li> </ul>		


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<b>NORWEGIAN FLAG *</b>		
Description	Contact	Validity
Nationality Certificate	NR	N/A
Minimum Safe Manning Certificate	NMD	N/A
Radio License	Tel	N/A
International Tonnage Certificate	NMD	N/A
International Load Line Certificate	NMD	5 years
Renewal Survey for International Load Line Certificate	NSC	5 years
Annual Survey for International Load Line Certificate	NSC	1 year
IOPP Certificate	NMD	5 years
Renewal Survey for IOPP Certificate	NSC	5 years
Intermediate Survey for International Oil Pollution Prevention Certificate	NSC	*
Annual Survey for IOPP Certificate	NSC	1 year
Certificate of Fitness	NMD	5 years
Renewal Survey for Certificate of Fitness	NSC	5 years
Annual Survey for Certificate of Fitness	NSC	1 year
Safety Construction Certificate	NMD	5 years
Renewal Survey for Safety Construction Certificate	NSC	5 years
Annual Survey for Safety Construction Certificate	NSC	1 year
Safety Equipment Certificate	NMD	5 years
Renewal Survey for Safety Equipment Certificate	NSC	5 years
Annual Survey for Safety Equipment Certificate	NSC	1 year
Safety Radio Certificate	NMD/Tel	1 year
Renewal Survey Safety Radio Certificate	Tel †	1 year
4 Yearly Survey of Lifting Appliances	•	4 years
Annual Survey of Lifting Appliances	•	1 year
ISM-Safety Management Certificate-SMC +	RO	5 years
ISM-Document of Compliance +	RO	5 years
<b>Notes:</b> <ul style="list-style-type: none"> <li>* Carried out simultaneous with 2<sup>nd</sup> or 3<sup>rd</sup> Annual Survey</li> <li>† Other authorised agencies, e.g. Coastal States representing agency, may carry out surveys of radio installation</li> <li>• Must be carried out by a "competent person" authorised by NMD. May be NSC inspector, CS surveyor or authorised 3<sup>rd</sup> party (e.g. service company)</li> <li>+ Applicable to ISM Certified Installations only</li> </ul>		

N.B. Compliance with Norwegian Flag requirements must be able to be demonstrated through the Company's documented management systems.

**\*NOTE: The Company does not have any vessels registered in Norway at this date.**

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<b>PANAMANIAN FLAG</b>		
<b>Description</b>	<b>Contact</b>	<b>Validity</b>
Navigation License (Patente Reglamentaria de Navegación)	PDMA	N/A
Minimum Safe Manning Certificate	PDMA	N/A
Radio License	PDMA	N/A
Safety Certificate	PC/OS	1 year
International Tonnage Certificate	CS	N/A
International Load Line Certificate	CS	5 years
Renewal Survey for International Load Line Certificate	CS	5 years
Annual Survey for International Load Line Certificate	CS	1 year
IOPP Certificate	CS	5 years
Renewal Survey for IOPP Certificate	CS	5 years
Intermediate Survey for International Oil Pollution Prevention Certificate	CS	*
Annual Survey for IOPP Certificate	CS	1 year
MODU Code Certificate	CS	5 years
Renewal Survey for MODU Code Certificate	CS	5 years
Safety Equipment Survey for MODU Code Certificate	CS	2 years
Annual Survey for MODU Code Certificate	CS	1 year
Intermediate Survey for MODU Code Certificate	CS	2½ years*
Radio Installation Survey for MODU Code Certificate	NSSL ‡	1 year
ISM-Safety Management Certificate-SMC +	RO	5 years
ISM-Document of Compliance-DOC +	RO	5 years
<b>Notes:</b> * Carried out simultaneous with 2 <sup>nd</sup> or 3 <sup>rd</sup> Annual Survey ‡ Coastal States representing agency may carry out surveys of radio installation + Applicable to ISM certified Installations only		

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USA FLAG		
Description	Contact	Validity
Certificate of Documentation	USCG	1 year
Minimum Safe Manning Certificate (Certificate of Inspection)	USCG	5 years
Radio License	USCG	N/A
International Tonnage Certificate	CS	N/A
International Load Line Certificate	CS	5 years
Renewal Survey for International Load Line Certificate	CS	5 years
Annual Survey for International Load Line Certificate	CS	1 year
IOPP Certificate	CS	5 years
Renewal Survey for IOPP Certificate	CS	5 years
Intermediate Survey for International Oil Pollution Prevention Certificate	CS	*
Annual Survey for IOPP Certificate	CS	1 year
Certificate of Inspection	USCG	2 years
Survey for Certificate of Inspection	USCG	2 years
Annual Survey for Certificate of Inspection	USCG	1 year
Alternative 1 <sup>†</sup>		
SOLAS Cargo Ship Safety Construction Certificate	USCG	5 years
Renewal Survey for SOLAS Cargo Ship Safety Construction Certificate	USCG	5 years
Mandatory Annual Survey for SOLAS Cargo Ship Safety Construction Certificate	USCG	1 year
SOLAS Cargo Ship Safety Equipment Certificate	USCG	2 years
Renewal Survey for SOLAS Cargo Ship Safety Equipment Certificate	USCG	2 years
Mandatory Annual Survey for SOLAS Cargo Ship Safety Equipment Certificate	USCG	1 year
Alternative 2 <sup>†</sup>		
MODU Code Certificate	USCG	2 years
Renewal Survey for MODU Code Certificate	USCG	2 years
Annual Survey for MODU Code Certificate	USCG	1 year
ISM-Safety Management Certificate-SMC	RO	5 years
ISM-Document of Compliance	RO	5 years
<b>Notes:</b> * Carried out simultaneous with 2 <sup>nd</sup> or 3 <sup>rd</sup> Annual Survey † Owner has the option of choosing between following SOLAS convention and MODU Code. Additionally USCG may, upon request, inspect an installation for compliance against IMO MODU Code requirements.		

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LIBERIAN FLAG		
Description	Contact	Validity
Certificate of Registration	LSI	N/A
Minimum Safe Manning Certificate	LSI	N/A
Radio License	NSSL	N/A
International Tonnage Certificate	CS	N/A
International Load Line Certificate	CS	5 years
Renewal Survey for International Load Line Certificate	CS	5 years
Annual Survey for International Load Line Certificate	CS	1 year
IOPP Certificate	CS	5 years
Renewal Survey for IOPP Certificate	CS	5 years
Intermediate Survey for International Oil Pollution Prevention Certificate	CS	*
Annual Survey for IOPP Certificate	CS	1 year
MODU Code Certificate	CS	5 years
Renewal Survey for MODU Code Certificate	CS	5 years
Safety Equipment Survey for MODU Code Certificate	CS	2 years
Annual Survey for MODU Code Certificate	CS	1 year
Radio Installation Survey for MODU Code Certificate	NSSL <sup>†</sup>	1 year
ISM-Safety Management Certificate-SMC +	RO	5 years
ISM-Document of Compliance-DOC +	RO	5 years
<b>Notes:</b> <ul style="list-style-type: none"> <li>* Carried out simultaneous with 2<sup>nd</sup> or 3<sup>rd</sup> Annual Survey</li> <li>† Coastal States representing agency may carry out surveys of radio installation</li> <li>+ Applicable to ISM certified Installations only.</li> </ul>		

**LIBERIAN FLAG**  
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CERTIFICATE AND SURVEY REQUIREMENTS COASTAL STATE LEGISLATION			

## 1 COASTAL STATE LEGISLATION

In this context the "Coastal State" is the country, nation or state that has assumed the rights and/or responsibilities over the area within which the installation is operating. The term "Shelf State" may also be commonly used. Normally the Coastal State's authority to assume the rights and/or responsibilities has been predetermined by application of internationally accepted protocols. This however, is not always the situation and Installations could possibly operate in locations where there are territory conflicts or unilateral positions adopted. Coastal states, almost without exception, have introduced requirements that the Company is required to comply with.


Coastal State requirements will vary from taxation regimes, to employment of local nationals, to highly prescriptive technical and operating provisions. This procedure will only deal with the technical provisions of the principle Coast States. Regional Managers will ensure that he and other relevant persons are familiar to the required extent, with the full requirements of Coastal State Legislation.

As previously stated conflict could exist between the requirements of Coastal State Legislation, Company Performance Standards and other agency requirements (e.g. Flag States and Classification Societies). Should the conflict be resolved by a solution that compromises the position of any of the parties or agencies, the solution adopted must be properly documented to allow restoration when the conditions given rise to the conflict no longer apply. It should be noted that, due to contractual obligations, market potential or operating patterns, the Company might determine that an Installation is to be kept in compliance with the requirements of more than one Coastal State. In such a situation, the potential for differences is increased. The Company's obligation will be to retain the installation in compliance with the requirements of the Coastal State Legislation from the operating area of the original contract.

Each Region will provide detailed procedures regarding Coastal State requirements. The requirements of Coastal State Legislation can be very complex and change very rapidly. Region (Level 2) procedures must contain be followed for ensuring compliance with the Coastal State Legislation applicable to the Region. The Rig Manager and nominee must be familiar with the requirements for the specific area of operation. The Rig Manager is responsible for ensuring that the Installation is maintained and operated in accordance with the applicable legislation. The Rig Manager is responsible for ensuring that the installation is made available and prepared for the required surveys and inspections by the agencies acting on behalf of the Coastal State. Further, the Rig Manager is responsible for ensuring that any conditions placed on the installation by the coastal state are performed or met.

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Coastal states have, to a greater or lesser extent, accepted International Maritime Certificates (SOLAS; MODU Code, ILLC, MARPOL, etc.) issued by or on behalf of recognized maritime administrations. In addition, Coastal States have to varying degrees delegated authority to act or issue documents on their behalf to certain Classification Societies or other agencies. The extent of acceptance and authorization must be clarified with the Coastal State. Where there exists acceptance of the maritime certificates and/or CS by the Coastal State, surveys and certificates required to comply with the requirements of the Coastal State legislation should, as far as possible, be conducted simultaneously with the maritime certificates and/or CS surveys.

The following summarizes the technical provisions of the main coastal states.

### 1.1 CANADA


The Canadian certification regime is split on two levels. There are national requirements and provincial requirements.

On a national level, a LOC, to confirm compliance with the IMO MODU Code and MODU standards, must be obtained from SSB. This LOC has validity for one year and is subject to renewal following satisfactory survey by the SSB. In principle, the LOC is not required to be maintained while the installation is operating outside Canadian controlled waters.

The various provinces have their own additional requirements. Newfoundland (including Labrador) requires a COF to be issued by the CA (normally the CS) against specific operational, technical and working environment requirements including inspection, maintenance and weight control. Nova Scotia has a similar requirement with slightly differing provisions. These COF are normally valid for five years, but will have an expiration dated marked on them, and are subject to periodic survey by the CA. In principle these certificates should be maintained while outside the controlled waters, otherwise the installation will be required to comply with the more stringent requirements of a new installation when re-entering controlled waters.

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## 1.2 DENMARK

The technical and operational requirements for operating in Danish controlled waters are given in "Administration of Hydrocarbon Licenses – Mobile Offshore Installations", administered by the Danish Energy Agency (Energi Styrelsen).

Before an installation is allowed to operate in Danish controlled waters a "Permit for Operation" is required. This permit is granted by the Danish Energy Agency in co-operation with the Danish Maritime Authority (Søfartsstyrelsen). The permit has validity for maximum five years, subject to surveys and inspections by the relevant agencies and authorities. When the installation is taken out of Danish controlled waters, a new application is required on re-entering controlled waters and the installation will be considered as a new installation entering Danish controlled waters for the first time. Other authorities must approve certain parts of the installation, for example the helideck, separately. For the helideck application must be made to the Civil Aviation Administration, Denmark, Department of Safety Regulation who will issue an "Approval of Helideck" based on the relevant sections of the civil aviation regulations.

## 1.3 NETHERLANDS

The Dutch Mining Authority (Staatsoezicht op de Mijnen – SODM) has the jurisdiction over offshore drilling activities in Dutch controlled waters. The requirements of the relevant legislation have been subject to change over recent years and case-by-case clarification should be sought.

## 1.4 NORWAY

**The compliance system in Norway is currently being restructured and will involve a process called "ACKNOWLEDGEMENT OF COMPLIANCE" (AOC).**


Future revisions of this manual will reflect progress of implementation.

The requirements for operating in Norwegian controlled waters are given in the publication "Acts, Regulations and Provisions for the Petroleum Activities" ("Regelverkssamling for petroleumvirksomheten"), published in two binders and administered by the Norwegian Petroleum Directorate (Oljedirektoratet). The published requirements contain the laws, the acts of parliament, the regulations to be complied with and the authorized guidance to the regulations. The publication is updated annually to incorporate new or revised regulations and guidance.

The Operator is defined as "the licensee" and has the responsibility to ensure compliance against the requirements. However, the Company must be able to

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demonstrate and document compliance to the Operator. Further, the Company has responsibilities as a "main contractor" under the terms of the regulations and must be able to demonstrate control of the activities over which it has influence against the requirements.

The Norwegian regulations, in theory, accept that, for mobile drilling units, existing documentation, including maritime certificates issued by Norwegian or foreign flag state authorities, may be used as basis for documentation of compliance with the requirements stipulated in the regulations. In practice the installation owner has had to be able to document compliance against the requirements of the NMD from 1986 onwards or the 1989 MODU Code. This provision is particularly important for aspects covered by the regulations that are too onerous or inappropriate for the design and operation of drilling installations (e.g. structural requirements). There are two main ways of demonstrating this base line compliance:

- a) NMD LOC against NMD requirements for a Norwegian flag installation, and;
- b) "Statement of Compliance" from the CS against the 1989 MODU Code and NPD regulations.

Under the first option, the installation is subject to the approval process and scope and frequencies of inspections as if the installation were to have Norwegian flag. The LOC is issued in place of the COF with all other certificates being accepted as issued by the Flag States representatives. The NMD do not assess the installation additionally against the specific requirements of the NPD regulations.

Under the second option, the CS is making a formal statement on the compliance status of the installation against the requirements of the NPD using the class and flag compliance status as a base line.


It should be noted that neither of these options relieves the Company of the responsibility for ensuring compliance against the requirements of the NPD.

When evaluating the relative advantages and disadvantages of these two options consideration should be taken of factors such as; cost, contractual obligations, current Classification Society and Flag Administration, current certificate status, future employment prospects, authority focus, etc.

In addition the Installation must be in compliance with the working environment laws, which require annual inspection by local health authorities and medical authorities. The lifting appliances, including all loose gear must be subject to annual testing and inspection by a "competent person" authorized by the NMD. The helideck and

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equipment is subject to review by the Civil Aviation Authority and initial and periodic inspection by the helicopter operator.

The NPD have become very active in following up Operators (Clients). This follow-up has been carried out by way of inspections and audits on installations and audits of the Operator's, and furthers the Company's management systems. On installations where no COF or LOC has been issued by the NMD, the NPD will invite the NMD to act as their marine executive agency in the performance of onboard technical inspections. These inspections tend to focus on stability, subdivision, watertight / weathertight integrity, ballasting, and station keeping. Once the Rig Manager has received notification that the NPD, with their appointed executive agencies, intend to perform a direct inspection / audit, the Rig Manager must ensure that the installation is prepared and made available for the inspections / audit.

The Rig Manager is responsible for ensuring that the Installation is annually reviewed against the requirements of the latest edition of the NPD regulations and guidance. Non-conformances against the regulations must be properly registered and documented. The documentation must include the technical or operational measures taken to provide for a comparable level of safety given by the regulation. The documentation must also include the plan for bringing the installation in conformance with the regulation, if applicable. In connection with the annual review of the installation against the latest regulations, the non-conformance list must also be reviewed to determine if there are factors that may change the status of existing non-conformances. This should be seen as a holistic approach whereby the existing non-conformance listing and the regulations are reviewed in interaction with one another to identify if there exists a compounding effect of one or more non-conformances in association with the regulation being considered.


## 1.5 UNITED KINGDOM

Authority for offshore safety in UK controlled waters has been delegated to the HSE. The directive of the HSE has been to take the UK Health and Safety at Work Act and implement it offshore by way of introducing a suite of general industry and specific offshore regulations.

This legislation, introduced under the umbrella of the Health and Safety at Work Act, centres around the Safety Case Regulations which in turn are supported by additional regulations concerning the management, control of emergencies, operation, design and construction of offshore installations. Further to this main legislation there are a number of additional regulations concerning reporting of hazardous occurrences, suitability of equipment, safety, health and welfare, monitoring and control of noise, monitoring and control of electricity, lifting

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equipment and lifting operations. In addition, helicopter operations and helidecks are subject to review by the agencies acting on behalf of the Civil Aviation Authority.

In the context of this legislation, the Company is defined as "The Duty Holder" and holds the responsibility for the provision of a safe place of work and for demonstrating compliance with the legislation.

The legislation demands that the Duty Holder demonstrates discharging of this responsibility by presenting an accepted case for safety (Safety Case) and ensuring that the procedures and arrangements set out in the document are followed. The acceptance of the Safety Case may not be construed as indicating compliance with the other statutory requirements mentioned above.

Two particular requirements of the supporting legislation are the need for a Verification Scheme and a Written Scheme of Examination. The Verification Scheme demonstrates functionality, survivability and availability of those items of equipment or systems deemed to be safety critical ("Safety Critical Elements"). The Written Scheme of Examination demonstrates that all plant associated with the protection of personnel from fire and explosion, and for securing effective emergency response, is maintained and available.


The Company has elected, due to the similarity of requirements, to combine the Verification Scheme and the Written Scheme of Examination into one installation specific document. The regulations require that this document is drawn up in consultation with an Independent Competent Person known as the ICP, (e.g. CS) and that it is subject to verification (including testing and examination where appropriate) throughout the life cycle of the installation. The Company Planned Preventative Maintenance system is used as demonstration of the continued performance (Performance Assurance) of Safety Critical Elements and plant associated with the protection of personnel from fire and explosion, and for securing effective emergency response by recording maintenance, inspection and testing carried out. The regulations allowed for work carried out, meet other requirements (i.e. Flag State and Classification Society) to be credited towards the verification process.

The Safety Case is subject to continuous review and must be resubmitted for acceptance by HSE at least every three years. Any major modification, significant event or any changes that may affect the Safety Case require review and re-submittal of the Safety Case.

The Rig Manager is responsible for ensuring that the Safety Case, Verification Scheme and Written Scheme of Examination are implemented and subject to review

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and re-submittal as required. Technical Field Support and QHSE Departments will support the Rig Manager in discharging this responsibility.

## 1.6 UNITED STATES OF AMERICA

The authority for US controlled waters is split between two agencies – USCG and MMS. USCG covers the marine aspects (structure, stability, watertight / weathertight integrity, ballasting, pollution prevention, life saving appliances, fire protection, power generation / distribution, ventilation, hazardous areas, mooring, fire / gas detection, etc.) and the MMS covers the drilling and industrial aspects. Normally the Operator will deal exclusively with the MMS. The MMS will normally perform a survey of the drilling and well control equipment prior to the well being spudded to confirm that the conditions stated by the operator in application for the drilling permit have been met. The requirements of the USCG are presented in the published CFRs, with 46 CFR Subchapter I-A and 33 CFR Subchapter N being relevant when working on the US continental shelf. A US flagged installation is partly covered by the Certificate of Inspection. A foreign flagged installation requires inspection by the USCG every year, with issue of a LOC. The LOC covers similar aspects as the Certificate of Inspection. There are three methods of obtaining a LOC:

- a) Full compliance with US standards, as per a US flagged installation.
- b) The requirements of the flag state being accepted as providing a level of technical and operational safety equivalent to or greater than the standards of a US flagged installation. Currently, only Panama has been accorded this status for new MODU's.
- c) Full compliance with the IMO MODU Code and 46 CFR requirements not covered by the MODU Code. This only applies to units designed and constructed to the IMO MODU Code, and issued an IMO MODU Code certificate.

It should be noted that installations with non-conformances against the MODU Code accepted by the flag state would not have those non-conformances accepted by the USCG. Both '79 and '89 versions of the MODU Code are recognized.


An installation must be in possession of a "Vessel Certificate of Financial Responsibility" against pollution. Contact should be made with the Houston Risk Department.

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**1 INSTALLATIONS ARE SUBJECT TO PERIODICAL, SURVEY INSPECTIONS AND AUDITS.**

The Rig Manager has a responsibility to ensure that the installation is made available for surveys, inspections and audits. The OIM has a responsibility to ensure that onboard personnel participate, as required, and that appropriate assistance and support is given to surveyors, inspectors, auditor's teams. All employees of the Company have a duty to participate, assist and support in surveys, inspections and audits, as required.

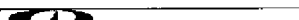
**2 REFERENCES**

- HQS-CMS-GOV, Company Management System, Section 5, Subsection 6, Performance Monitoring Audit and Assessment.

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## 1 SURVEYS, INSPECTIONS AND CONTROL OF CERTIFICATE AND SURVEY DOCUMENTS

This section describes how each region will handle the certificates, reports and documentation arising from CERTIFICATION AND SURVEY. Its purpose is to ensure that surveys are carried out at the appropriate times and that all points arising from the survey work are appropriately actioned. It applies to all Installations and supersedes any existing systems - it addresses the methods of 'check sheet' and 'combination' reporting.

**Check sheet** means the 'tick test' or pro-forma 'field entry' method of documenting - which are the Survey Reports.

**Combination** means that various surveys are reported on the same sheet (e.g. UWILD, PM, MODU, IOPP, other flag and class).

### 1.1 CORE PROCESS

#### 1.1.1 OIM OR DESIGNATE

- Using the Class Society's Status (due date's etc) to schedule surveys – informs Rig Manager when survey window BEGINS.
- Plans survey and advise Rig Manager on rig specific items i.e. non-compliance's, outstanding recommendations, and other requirements for the survey.

#### 1.1.2 RIG MANAGER

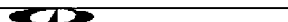
- Consults with his Field Support office onshore to further develop survey work scopes and survey timing.

#### 1.1.3 FIELD SUPPORT

- Assists Rig Manager to develop the Survey requirements.
- Liaises with the survey 'AUTHORITY' as required. Gives guidance on 'Outstanding Recommendations (OSRs) and non-compliance's. Advises on timing and work scopes.
- Assists with any follow up and close out, checks invoicing for accuracy.

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## 1.2 METHOD

- The Field Support office will receive certificates and documentation. The Field Support office is the single entry point for the Region rigs, this is the postal\* address given to the 'Authority' - DNV, ABS, Panama, Liberia, Marshall Islands etc. (\*Billing addresses may differ and will apply to the invoice process).
- The Certificate and Survey documentation will be reviewed by Field Support and issued to the Rig and Rig Manager. A cover note will be attached where useful otherwise, the distribution will have annotation only on the top right corner. It is for the rig to review Certificates and Reports and to capture the action points using its non-conformance / job control systems. Filing the documentation will be as per the annotation on the top right corner.
- Field Support is available to the Rig and Rig Manager regarding solutions and must be contacted where difficulties are experienced. The group is also available to help clarify any points arising. In addition, to direct contact the Certification Engineer will give guidance via the 'Cover Note / transmittal sheet' where applicable.
- Filing directions will be noted on the top right COVER or 1st PAGE of each document. It is imperative that Field Support, the OIM and Rig Manager follow the directions. **Note that the splitting out or copying of documents is minimized.**
- Information on Survey requirements, action plan supplements, and other useful information is contained in the Certificate and Survey Guidance PART A and PART B - which can be viewed as an attachment to this standard.
- Other information on the Company Certification and Survey regime is attached to this procedure.
- Rig Certificates will not be 'posted' on walls or in wall cabinets unless it is specifically stated otherwise on the certificate. This is to avoid dispersion, paper handling, and to reduce the likelihood of cross contamination. The certification binder (*see Heading 1.3*) is the safe hand document. It is to be kept 'up to date' for presentation to any party at any time. Rig Custodian is the OIM or designate
- Shore Base Custodians are the RIG MANAGER and the FIELD SUPPORT MANAGER

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### 1.3 CERTIFICATE BINDER

Distribution:

- One per Rig (OIM)
- Rig Manager
- Field Support Manager

Contains only the latest issues of Certificates and Licenses as indexed. See *Figure 8.3, Certificate & Survey Document Handling System*.

As indexed, the 'Originals' of each document are to be held in the RIGs Certificate Binder. The Region Filed Support Manager and the Rig Manager will hold copies.

When a new or updated issue supersedes a Certificate or License the old document will be discarded and replaced by the new edition. Before this happens the CUSTODIAN must assure him that it is in fact proper to do so. For instance it is not correct to discard the 'Full Term' (5 yr) Certificates although a Conditional or Provisional certificate may temporarily supersede them. Some authorities require old certificates be returned but in most cases the old certificates will be discarded. Unless otherwise instructed discard superseded documents.

What documents to discard should be apparent on examination, as they will have the cover note instructions - FOLLOW the instruction. If in doubt, ASK.

For Certificates produced offshore, copies are to be sent to the Region Field Support Manager for distribution as above.


### 1.4 CERTIFICATION AND SURVEY FILE CABINET

The files are for documents arising from Regulatory or Marine Compliance business. See *Figure 8.3, Certificate & Survey Document Handling System*. Equipment specific certificates or reports are to be filed in the PM System under Property Symbolization System index.

Field Support will write the file number on the TOP RIGHT on the FRONT PAGE of EACH document issued. The KEY to control is for each CUSTODIAN to observe the file number and file accordingly.

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One Cabinet per location:

- Rig
- Rig Manager
- Each Rig supported by Region Field Support

The cabinet contains the Certification and Survey FILES as indexed below. **The FILES are critical to the maintenance of the Certificate and Survey regime and are the second part of the Binder.** The files, receive the REPORTS that support the various Certificates or Licenses held in the binder. Other associated items are included for good order.

The FILES will be TWIN CLIPPED and kept in CHRONOLOGICAL ORDER. When a file becomes full a NEW file will be started. The Custodian will put the DATES (i.e. from xxxx to xxxx) on a files leading edge and on the front. No reports need be retained after 5 years except as noted.

Files to contain sub files as listed:

- (a) Documents twin locked and
- (b) maintained in CHRONOLOGICAL order

## 1.5 SUPPORT FILES INDEX

### A. CERTIFICATION BINDER – MAJOR CERTIFICATES

#### 1. TRANSOCEAN CORRESPONDENCE

- 1.0 Transocean Correspondence related to binder subjects
- 1.1 All Field Support - issued Certificate and Survey 'Cover Notes' / Class Society cover letters
- 1.2 Class Societies Notification of Survey

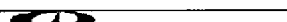
#### 2. CLASS SOCIETY CORRESPONDENCE

- 2.0 Class Society Correspondence 'IN'
- 2.1 Class Society Correspondence 'OUT'

#### 3. CLASS SURVEY REPORT

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- 3.0 'Year Files'. Class Reports, Ann, Inter, SPS, Mod, Repair, and Class reporting for flag e.g. MODU/IOPP
- 3.1 Technical Letters, Review letters. Letters pertaining to Upgrades, Modifications

**NOTE: For the larger 3<sup>rd</sup> party or Class reports e.g. the structural 'In Service Inspection Program' (DNV) or Major Survey (Company) see General, heading C below.**

#### **4. FLAG**

- 4.0 Correspondence relating to Country of Registry business (e.g. Liberia, Bahamas, Panama, Marshall Islands).

### **B. COASTAL STATE SECTION**

#### **5. AERO. RADIO STATION AND NON DIRECTIONAL BEACON (NDB) LICENSE (where applicable)**

- 5.0 Correspondence and documents relating to the CAA Approval and License fee renewal

#### **6. VERIFICATION (where applicable)**

- 6.0 Official Verification Reports and Recommended Remedial Actions issued by Verifier.
- 6.1 Verification Activity COMPLETED LOG Sheets. (ex-SF rigs only).
- 6.2 Revision Information, Revision transmittal sheets.
- 6.3 Correspondence.

#### **7. UK - HSE •US, MMS•CANADA-NLPD, DOT• NORWAY-NPD, NMD**


- 7.0 Correspondence 'IN'.
- 7.1 Correspondence 'OUT'.

#### **8. MARKING OF INSTALLATIONS**

- 8.0 Navigation Aids: Provision under Coast State requirements
  - Convention on the International Regulations for the Preventing Collisions at Sea, 1972 (Colregs). COMPLETED Navigation aid information form.

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C. GENERAL SECTION

9. EXEMPTIONS

9.0 Exemptions relating to non-conformances of Class Flag or Coast State that are 'carried'.

- Does not include 'company' exemptions, which are handled via company's SMS procedures.
- Does not include 'extensions' to any survey or survey item.

10. INVOICES (Field Support and Rig Manager only)

10.0 Copy of invoices arriving with Certificate and Survey documents.

- Field Support will take a copy at distribution point and also send one copy with Rig Managers reports.
- Field Support will send ORIGINALS direct to ACCOUNTS PAYABLE.
- Rig Manager's copy (for his information) – A/P will process original to manager as normal.

11. STRUCTURAL SURVEY

11.0 Latest MAJOR SURVEY Structural reports. As done at 5th Year.

- Rig - held in PM specific file
- Field Support - in Library
- Rig Manager - held in PM specific file

11.1 Copy of intermediate or rolling structural inspection reports

11.2 Correspondence specific to Structure or UWILDs

11.3 Divers report/Company reports on Underwater Survey in Lieu of dry docking (UWILD).

- Videos to Field Support Library, Rig Library, Rig Manager N/A. Retention till superseded.

12. STABILITY

12.0 Correspondence


12.1 Latest dead-weight Survey results

12.2 Last Inclining Test – results

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**13. HELIDECK**

13.0 Correspondence pertaining to Helideck Approvals


**14. MOORING**

14.0 Correspondence pertaining to chain or chain wire inventory

14.1 Copies of Class or Manufacturers Certificates and Inspection Reports  
(Rig: held in PM specific file)

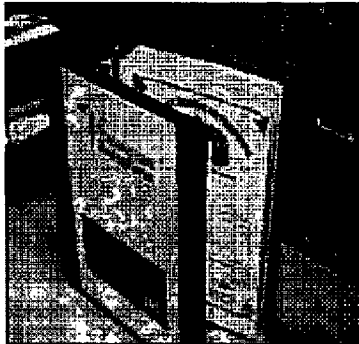
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**FIGURE 8.3, CERTIFICATE & SURVEY DOCUMENT HANDLING SYSTEM**

This page introduces the basic Certificate and Survey document handling system.



The Installation, Rig Manager and the Field Support Group should maintain a Certificate Binder and its 14 associated files.

**When establishing the binder and files the Custodians can work together to top up where copies are required or where gaps need to be filled. Note that survey cycles will naturally top up also.**

Certificates and Survey reports mailing - typically from DNV, ABS should be addressed to your compliance contact in your field support group. This is for the review and transmittal by that person to the (3) Custodians.

An example of the Certificate Binder Index is provided in Figure 8.3.1, Certificate Index.

**Some notes:**

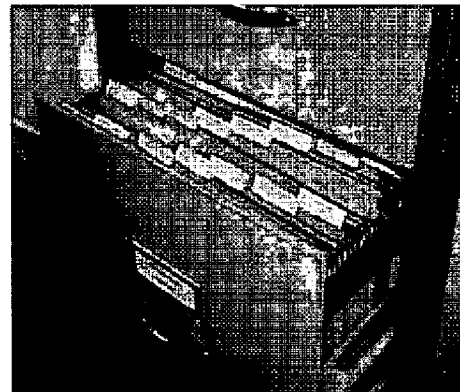
The binder and especially the files are in the main – “Only - for the Certificate and Survey” documents, transmitted to you from your Field Support Group.

Transmitted documents will have instruction so that pro activity takes place and so that the Installation, Rig Manager, and Field Support contact all work out of the same (reference) locations.

If documents are self explanatory and no instructions are required, Custodians are to observe filing instructions written on the top right corner.


The files will not handle large documents such as upgrade or modification transmittals, chain inspections, structural binders, gap analysis, 3rd party reports. These should be tracked and filed with you or in the library. However related, light, stand-alone, reports or letters on these subjects can be filed.

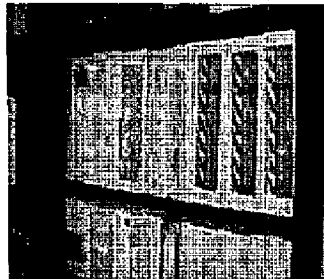
Recall the binder is only for certificate and



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Further Certificate and Survey information is in the Aberdeen Field Support Group's web.

The 'Read Me' set gives advice to the rig personnel and other interested parties. It is for study and digestion - or surfing - as applicable to the reader.

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**FIGURE 8.3.1, CERTIFICATE INDEX**

2	CERTIFICATE	NO	EXPIRY	AUTHORITY	ANNUAL SURVEY DUE DATE
1.	Classification Society Status (e.g. Exchange (DNV)/Safenet (ABS))				
2.	Certification of Classification or Main Class Certificate				
3.	Appendix to Class Certificate (DNV)				
4.	Attachments or Conditions of Assignment to Class Certificate				
5.	Certificate of Registry (Flag)(Certificate of Documentation US Flag)				
6.	Tonnage Certificate (1969) & Certificate of Measurement				
7.	Annual Tax Receipt				
8.	Safe Manning Certificate / Manning Schedule				
9.	Certificate of Inspection (US Flag)				
10.	IMO MODU Code Safety Certificate (Construction and Equipment)				
11.	International Oil Pollution Prevention (IOPP) Certificate				
12.	International LOAD LINE Certificate				
13.	Initial Record of Conditions of Assignment of LOAD LINE (LL11D)				
14.	Ship Station Radio License (to be posted in Radio Room)				
15.	GMDSS Maintenance Contract				
16.	SOPEP Letter of Approval				
17.	ISM - International Safety Management SMC (where applicable)				
18.	ISM-International Safety Management Document of Compliance-DOC (where applicable)				
19.	Machinery Planned Maintenance System-System Approval LTR				
20.	Retest of Cargo Gear (Cargo Gear)				
21.	Annual Survey of Cargo Gear (Cargo Cranes)				
22.	STD-600-02 Certificate				
<b>COASTAL STATE (EXAMPLE UK)</b>					
23.	Aeronautical Station Receipt-Receipt of annual fees paid (Heli-ops)				
24.	Non Directional Beacon License-Receipt of annual fees paid (NDB)				

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		SUBSECTION:	8
<b>CERTIFICATE AND SURVEY REQUIREMENTS</b> <b>SURVEYS, INSPECTIONS, CONTROL OF CERTIFICATE AND SURVEY DOCUMENTS</b>			

2	CERTIFICATE	NO	EXPIRY	AUTHORITY	ANNUAL SURVEY DUE DATE
25.	Air Navigation Order 1995-Approval				
26.	Verification Scheme Initial Review Letter				
27.	Approved Helideck (drawing)				
28.	Helideck Letter of review and approval				
29.	Safety Case Acceptance Letter				
30.	Certificate of Employers Liability Insurance				
<b>COASTAL STATE EXAMPLE</b>					
31.	Letter of Compliance- (EIRE)				
32.	Helideck Landing Area Certificate-Dutch Waters				
33.	Letter of Compliance-NMD				
34.	Statement of Compliance-NPD				

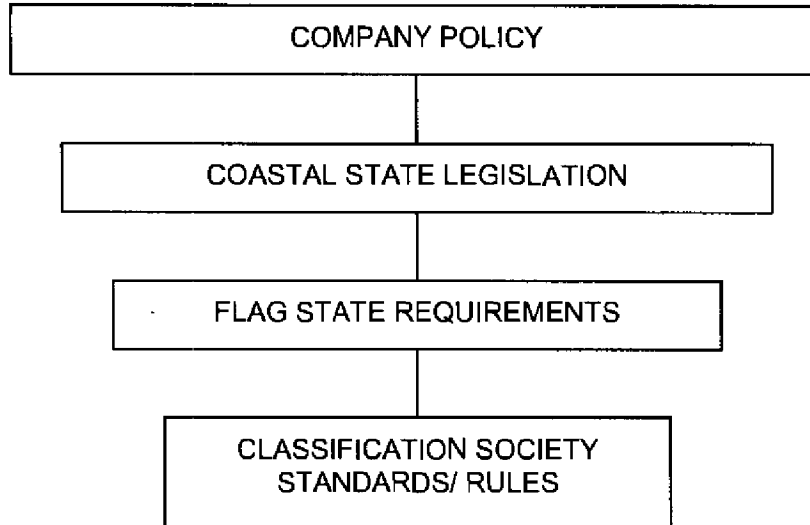
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		SUBSECTION:	9
<b>CERTIFICATE AND SURVEY REQUIREMENTS</b> <b>COMPLIANCE HIERARCHY</b>			

**1 COMPLIANCE HIERARCHY**




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	CERTIFICATE AND SURVEY HQS-OPS-HB-03	SECTION:	1
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CERTIFICATE AND SURVEY REQUIREMENTS DEFINITIONS			

The following are terms and abbreviations used in this procedure and will be commonly encountered in the compliance process.

ABS	American Bureau of Shipping
BMA	Bahamas Maritime Authority
CA	Certifying Authority
Certificate	Documents demonstrating compliance with requirement (rules, regulations, legislation, codes, standards, etc.)
CFR	Code of Federal Regulations
COF	Certificate of Fitness
CS	Appointed Classification Society
DNV	Det Norske Veritas
DOC	Document of Compliance
HOUINS	Houston Insurance Department
HS&E	Health, Safety & Environment
HSE	UK Health & Safety Executive
ILLC	International Convention on Load Lines, 1966, and subsequent
IMO	International Maritime Organization
IOPP	International Oil Pollution Prevention Certificate as required by Annex I of MARPOL 73/78
ISM	International Management Code
LOC	Letter of Compliance
LRS	Lloyds Register of Shipping
LSI	Liberian Services, Inc. (Reston, VA) representing Republic of Liberia Bureau of Maritime Affairs
MARPOL	International Convention for the Prevention of Pollution from Ships, 1973, with Protocol of 1978
MMS	United States Minerals Management Service
MODU CODE	IMO Code for the Construction and Equipment of Mobile Offshore Drilling Units, 1979 & 1989
NOMIEE	The person or persons authorized to perform duties on behalf of the Rig Manager (e.g. Technical Superintendent), or to whom the Rig Manager has delegated certain responsibilities.
NPD	Norwegian Petroleum Directorate
NR	Norwegian Registrar
NSC	Norwegian Ship Control, the executive agency of the Norwegian Maritime Directorate
OIM	The Offshore Installation Manager or Platform Manager as defined by Company policy
OPERATOR	The company the rig is carrying out operations for, either be main contract or sub-contract
OS	Operational Services Houston
PC	Panamanian Consulate
PDMA	Panamanian Department of Maritime Affairs, NY Office

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RM	The Rig Manager with responsibility for the installation
RO	Recognized Organization (note DNV are the RO for all applicable ISM certified installations)
SMC	Safety Management Certificate
SOLAS	Safety of Life at Sea Convention of 1974, with Protocol of 1978 and subsequent amendments
SSB	Ship Safety Branch, Transport
SURVEY(S)	The formal process of inspection, testing and audit by the appointed representatives of an agency against agency requirements (rules, regulations, legislation, codes, standards etc.)
TEL	Telecom agency, either National or authorized (non-specific)
USCG	United States Coast Guard

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<b>CERTIFICATE AND SURVEY REQUIREMENTS</b> <b>REFERENCES</b>			


# 1 REFERENCES

There are no references associated with this procedure.

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<b>GENERAL INFORMATION ON CERTIFICATE AND SURVEY</b> <b>CERTIFICATE OF CLASSIFICATION</b>			

## 1 CERTIFICATE OF CLASSIFICATION

The 'Certificate of Classification' often referred to as the Class Society Certificate. It is the basis for the issue of the 'Main Class' Certificate, i.e. ABS, DNV under whose rules the vessel has been built. The assigned classification of the vessel is indicated by a code of symbols, letters and numbers the meaning of which are defined in the Society's rulebook.

The Certificate shows that the rig has been designed and constructed to internationally recognized standards, and is maintained and /or repaired according to her Class in the rules.

The Certificate lasts for **five (5) years** with validity subject to the satisfactory completion of annual surveys.

**IMPORTANT:** As of 1<sup>st</sup> January 1996, the **VALIDITY** of the Class Certificate is subject to **COMPLETION** of the Annual and Special Surveys, i.e. **ALL** recommendations are to be satisfactorily dealt, within the annual survey period. This will only carry over the 5th year 'due date' (such as when the rig is in major shipyard or laid up). However they must be done and credited before a new Certificate of Classification is issued. The new Certificate of Classification will be backdated to run from the expired one. The rig cannot operate without an in date certificate and the above overrun only applies when the rig is not operating i.e. completing its shipyard or lay up.

It is very important to be pro-active before, during and after the surveys are carried out.

- Before:


To ensure a proper planned work scope and that item to be surveyed will be available. Also, to ensure that the proper rig personnel will be available to the surveyor.

- During:

To ensure a full understanding of what corrective actions are required. To minimize outstanding recommendation that arises due to misunderstanding.

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- After:

To ensure corrective actions are closed out properly and in an agreed time frame.

**Recall that if a 'Class' certificate falls invalid then the flag certificates, which place reliance on class conformity, will also become invalid. (See MODU Code).**

**Note that there is no 3-month window 'after' the due date for the 5<sup>th</sup> year special survey and that ALL-outstandings have to be addressed before a NEW 5yr Certificate will be issued.**

It is important to understand the class 'notations' that exist on the Certificate of Classification. There are Mandatory and Additional Class Notations which have an important bearing on what the surveyor requires to inspect. Conversely, a clear understanding will assist to ensure an effective survey work-scope and will further avoid issues that do not concern the class certificate.


e.g.: for an American Bureau of Shipping (ABS) classed rig.:

**\*A1, M, PAS Column Stabilized Drilling Unit**

- ✱ Notation Describes: that Class Surveyor(s) attended the unit during the build period and that the rig was built to comply with the ABS rules either fully or with accepted equivalents. Rigs without the symbol will not have been 'under class attendance' at build. Such rigs will have been qualified for the class certificate by special survey arrangements on a case-by-case basis.
- A** Notation Describes: that the unit is accepted into class as fully satisfying the rule requirements for such a vessel.
- 1** Notation Describes: unrestricted ocean service. (Basically regarding the hull construction and the station keeping provisions). Some limitations may exist due to particular issues e.g. capability to operate in ice areas.

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**M** Notation Describes: that the Mooring system is to the 'owners' specification and that ABS have attended the testing. The 'M' symbol is not a requirement of class, it is an owners request for class to include it. Inspection and inventory are subject to owners choices with inventory and records subject to audit by ABS.

**✕PAS** Notation Describes: Thruster machinery for propulsion assist complies with the ABS rules. Again the maltese cross signifies that the thrusters or machinery were manufactured, installed and tested to ABS satisfaction. As can be seen it is important to understand the class 'notations' to know what is required and to know what is inside (or outside) the remit of survey. Check your notations and investigate what they concern. The Class Surveyor will usually be able to explain - he must be able to provide the rule references when asked. **Note: As more Class Notations are made, more survey work will be required in accordance.** Further information on class notations refer to Appendix 1.


Recall that Class rules are not retrospective. **That is, the rules in place at the time of build are the ones that apply.** I.e. One rig may have a fixed fire fighting (CO2) system in its galley range hood while another has not. I.e. One rig has the ABS 1999 rules applying at build where the other, older rig, has pre -1999 rules.

**An owner at their discretion may upgrade to meet the latest rules due to the following:**

- The latest rules apply to major modifications or new additions.
- The 'year built' rules apply to 'return to original' repairs.

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## 1.1 CERTIFICATE OF CLASS - HULL AND MACHINERY

- ANNUAL
- CONTINUOUS
- INTERMEDIATE
- SPECIAL PERIODIC SURVEY REPORTS.

These inspections and surveys are carried out to ensure that the rigs hull and machinery is maintained in accordance with her Class in the rules. They support the Certificate of Classification discussed above.

An **Annual** or **Special Survey** will not be considered complete unless all noted deficiencies have been satisfactorily dealt within the survey period. The Continuous Survey is ongoing during the lifecycle as per the items on the Continuous Survey inventory.

The Annual Survey period is three (3) months either side of the anniversary date, i.e. if the date is June then the Annual Survey is due between April and September (referred to as the Survey Window). **However, this does not apply to the Annual Survey coinciding with the end of the five (5) year cycle, which must be completed by the end of that cycle.**


- A rig on a continuous cycle is able to spread the survey items over the five (5) year period. The Continuous Survey is progressed over five (5) years.
- On a continuous programme items may be out of step with each other but they each become due 5 yrs from their last survey. See Class **STATUS** where machinery and perhaps hull tanks will demonstrate this.
- A rig not on a continuous cycle must be completed within the 4<sup>th</sup> and 5<sup>th</sup> Years of the cycle. Any previous inspection results i.e. before the 4<sup>th</sup> year cannot be credited and everything must be completed before the end of the 5<sup>th</sup> yr.
- It is normal to do as much accessible items while the rig is working to minimize the time spent 'off line' at the Inshore or Shipyard visit. The inshore visit will 'catch' all the underwater exterior parts, which are normally submerged. Items inaccessible (such as Sea Inlet Valves) are a typical example.

The '**Intermediate**' or '**Mid Term**' (ABS – DNV) this structural survey is also associated with rule requirements for the dry-docking or equivalent survey. These concern the rule requirements to inspect the underwater parts, which are normally submerged during operation. The Intermediate is often satisfied by a proper survey

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using a Remote Operated Vehicle (ROV). This means that the rig need not stop operating to come inshore or to dry-dock. It does not follow that the 5<sup>th</sup> year survey can be done by ROV. The 5<sup>th</sup> year is coincident with other structural inspection and refurbish. Normally divers are employed at the 5<sup>th</sup> year.

The **Major** or **Special Periodic Survey** this structural survey also requires inspection of the underwater parts normally submerged during operation. e.g. Hull and braces. Close out at the 5<sup>th</sup> year normally coincides with an Underwater Survey in Lieu of Dry Docking (UWILDD).

## 1.2 UNDER WATER SURVEY IN LIEU OF DRY-DOCKING (UWILD)

Class rules provide an option for where it is impractical to dry-dock the rig every 2 ½ and 5 years. (ABS, DNV). A properly conducted underwater inspection can be credited to the dry-docking requirement, subject of course to satisfactory results and corrective actions being addresses as necessary.

Dry-docking when carried out for upgrade, repair or life extension may be credited and a UWILDD would not be required. However, dry-docking is considered an unusual occurrence and the UWILDD is done in lieu.

### FREQUENTLY:

- Two **UWILDS** must be done within the 5-yr. cycle of major survey. I.e. at the mid term 'Intermediate Survey' carried out at 2 ½ or maximum 3 years and at the 5<sup>th</sup> Year.
- For efficiency the timing of the **UWILD's** normally coincide with the Intermediate and Major or Special Periodic Surveys.


The owner will normally employ an underwater diving company which will have the approval of the Class Society, to visually inspect, photograph and film selected weld areas, anodes, thrusters, sea chests, inlet valves and any other area agreed between the owner and the Class Society. UWILD's are to be carried out in accordance with the applicable sections of the Class Rules.

**NOTE:** The opening for examination of sea chests, valves and strainers is required at the time of the underwater survey associated with the end of the five (5) year cycle, when blanking plates will need to be fitted.

- The survey will normally be carried out in sheltered waters, away from the area of operation and can be programmed to coincide with other inspections.

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If operational commitments will not permit this, a modified UWILDD may be performed using an ROV.

- The UWILDD survey can be used to obtain acceptance for a Tail Shaft survey.
- Depending on type, a Tail Shaft survey requires the pulling of the prop shaft. However for MODU's the requirement is normally satisfied by a diver inspection on the thrusters, inclusive of a PM Record Audit.

**Note on the Class Society Det Norske Veritas (DNV):** Similarly an underwater or bottom survey is specifically required only at the time of the periodic or renewal survey during the 5<sup>th</sup> year. However there is a requirement for an Intermediate General Survey (IGS) which, if carried out on location, includes performing an under water survey. Where there is access for an internal examination of underwater members of the hull, the underwater survey may be waived, at the discretion of the attending surveyor.

### 1.3 DRY-DOCKING SURVEY

Dry-docking is only relevant if the vessel is in dry-dock for a major refit or life enhancement work.

- As above, if dry-docked the same inspection items arise, i.e. Sea Inlet Valves, Hull welds , Hull condition.

### 1.4 CLASS MANDATORY VS. NOTATIONS/SYMBOLS

Mandatory Notations are required as a condition of class.

They will include a construction symbol, ✱, given to units built under a classification society supervision, a main character of class A1 (ABS) or 1A1 (DNV), a basic design/type notation i.e. Column Stabilized Unit, and a service notation i.e. Drilling


Example: ✱ 1A1 Column Stabilized Drilling Unit.

The mandatory notation indicates the unit has been designed and built in accordance with the applicable classification society rules for building and classing Mobile Offshore Drilling Units. It is the required standard for insurance, flagging and statutory certification of the unit.

All other notations/symbols are additional at the request of the owner.

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## 1.5 MANDATORY NOTATIONS/SYMBOLS

### ABS:

#### \*A1:

Main Class Notation for units built under survey. Does not include propulsion thruster assist machinery installations.

#### Type & Service:

Self-Elevating Drilling Unit  
Column-Stabilized Drilling Unit  
Ship-Type Drilling Unit  
Etc.

The type notation will follow the main class notations i.e.:

\*A1 Column Stabilized Drilling Unit.

**NOTE: For units not built under survey the \* is omitted**

### DNV:

#### \*1A1:

Main Class notation for units built under survey. Includes marine machinery and indicates self-propelled for units with means of propulsion equipment fitted.

#### Type & Service:

Self-Elevating drilling unit  
Column Stabilized Drilling Unit  
Ship Shaped Drilling Unit  
Etc.

The type & service notation will follow the main class notation:

\*1A1 Column Stabilized Drilling Unit.

**NOTE: Units built under survey of another recognized class society classed and later classed by DNV will be given the symbol \* Units not built under survey the \* is omitted (not applicable to Transocean, Inc., DNV classed rigs at this time).**


## ADDITIONAL NOTATIONS/SYMBOLS

Additional notations to Main Class are at the request of the owner.

**They are not required as a condition of classification.**

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An owner can require and specify the ABS or DNV rules to be applied as a standard for the initial installation/s however, it is not necessary to maintain the additional notation/s.

Additional notations indicate that a unit is fitted with equipment, systems or special facilities that meet the requirements of the applicable ABS or DNV rules/guides or standards. These same rules/guides or standards are based upon, reiterate, or reference most of the already established international or national recognized codes, standards, and accepted practices that have been used by the Offshore Oil Industry over many years.

Retaining these notations requires the equipment and systems to be subjected to periodic examination and testing by a class surveyor. This will interfere with ongoing operations, may cause unnecessary delays completing the annual and special surveys, and will incur extra survey costs plus considerable additional costs for Class certification and or approval of repairs, and replacement parts.


There are in effect Company equipment and maintenance standards, operational standards, and codes of practices that incorporate the requirements of applicable Class, Statutory, International, National Standards, and Manufacturers' Requirements.

The strict application of these in conjunction with the onboard PM program and system of internal audits should be all that is necessary to verify to customers and any other interested authorities that the units and associated equipment and systems are adequately maintained and kept fit for purpose. This is how it is done on units that do not carry additional notations.

Unless there are contractual, operational, legal or other special circumstances, there should be no need to carry notation other than is necessary to meet the unit's actual service, operational and regulatory requirements.

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## 1.6 ADDITIONAL NOTATIONS/SYMBOLS

### ABS:

#### E:

Indicates equipment for Temporary Mooring of the Drilling Unit is in compliance with 3/12.3 of the rules.

**Annual general examination by surveyor of mooring equipment required.**

#### M:

Indicates equipment for position mooring of the Drilling Unit, which has been specified by the owner, has been tested accordance with the specifications of the owner and in the presence of a surveyor.

Class have only guidance for survey and inspection of the Mooring equipment as chain and follow basically API RPI as does our own OPT-EMS-200, 201, and 203 Maintenance Standards.

#### P:

Indicates equipment for position Mooring of the Drilling Unit, which has been designed and installed in accordance with parts 3 Appendix 3/E of the Rules.

#### \*AMS

Indicates unit is fitted with propulsion machinery and subject to survey as Self-propelled unit.

#### \*PAS/\*APS

Indicates unit is fitted with thrusters for propulsion assist or side thrust in compliance with requirements of the ABS 'Ship' Rules and Section 2 and 4 of the Guide for Thrusters and Dynamic Positioning Systems.


(These are Non-Self Propelled notations however machinery is still subject to survey as self-propelled.)

#### \*DPS

Indicates unit fitted with Dynamic Positioning System complying with the requirements of the ABS guide for Thrusters and Dynamic Positioning Systems. Manufactured and installed under survey and found satisfactory after trials. Distinguished by symbol \*DPS-o, \*DPS-1, \*DPS-2 or \*DPS-3 as appropriates.

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**\*ACCU**

Indicates unit is fitted with centralized or automatic control systems for propulsion units, or essential auxiliaries.

**\*CDS**

Indicates unit fitted with drilling systems and equipment that comply with the ABS guide for the certification of drilling systems manufactured and installed under survey as found satisfactory after tests.

**Cargo Gear Register**

This will not show on the ABS classed units class certificates, as it is neither a class requirement nor additional class notation. It is represented on the unit's class status as an annual or retest survey, which does not have to be done by the class surveyor.

The annual examination and testing of the cranes is an IMO MODU Code requirement for the maintenance of the MODU Code Safety Certificate and can be carried out/witnessed by an officer of the Flag State, or duly authorized person or organization. Our company standards OPT-EMS-600-01 and 02 satisfy the MODU code. Rigs that are applying the company standards and using 3<sup>rd</sup> party crane inspectors can remove the C.G.R. The inspection/test report must be on board at time of annual or renewal MODU Safety Certificate survey by class.

**ICE Strengthening**

**A1, A0, B0, C0, or D0**

Indicates a unit Hull has been strengthened in accordance with the rules for operation in ICE either in transit or on location.

**DNV:**

**POSMOOR**


Indicates unit equipped with passive position mooring system.

**POSMOOR V**

Indicates mooring system designed for positioning in vicinity of other structures.

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**POSMOOR TA**

Indicates thruster assisted mooring system dependent on manual remote thrust control system.

**POSMOOR ATA**

Indicates thruster assisted mooring system dependent on automatic remote thrust control system.

**Non Self-Propelled**

The DNV main class notation indicates a unit with propulsion machinery fitted as a self-propelled unit.

(DNV rules do not have notation/s to indicate tow or mooring assist)

**DYNPOS-AUTR**

Indicates unit is fitted with automatic position keeping system, with redundancy in technical design

**DRILL**

Indicates units fitted with drilling systems and equipment that comply with the DNV requirements.

**DRILL (N)**

DNV have this notation as verifying compliance with Norwegian shelf state legislation.

**CRANE**

Indicates unit is fitted with permanently installed cranes certified in accordance with DNV rules for certification of lifting appliances. In addition to the certification of the crane the following is covered:


1. Supporting structure for the crane (strengthening of deck structure and pedestal).
2. Devices for locking crane in parked position

(Unit at sea)

The deck strengthening, pedestals up to slew ring stub weld and boom rack connections to the hull structure are already covered by the hull surveys. There are company standards in place to meet the IMO MODU Code and coastal state requirements.

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Provided these standards are in place there is no need to maintain the notation and DNV involvement other than to verify the 3<sup>rd</sup> party crane inspectors report is on board at the time of the arrival or renewal MODU Safety Certificate Survey.

**HELDK**

Indicates the Helideck structural strength is in according part 6 chapter 1 section 2 of the DNV rules.

**ICE T**

**ICE TL**

Indicates unit strengthened for ICE Transit and operation.

**EO**

Indicates unit equipped for unattended machinery space.

**F-AM**

Indicates unit has additional fire protection of accommodation and machinery space.


**DRL**

Indicates unit has Drilling Derrick Class.

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<b>GENERAL INFORMATION ON CERTIFICATE AND SURVEY</b> <b>CERTIFICATE OF REGISTRY</b>			

## 1 CERTIFICATE OF REGISTRY

The Certificate of Registry describes the vessel's nationality and proclaims it as part of the Flag country's territory. This is the official identification of the vessel. Recognized by all governments it entitles the vessel to the protection and diplomatic offices of the country's treaties and agreements regarding international organizations and other country governments. The vessel will be eligible under the country's rules, and require to comply with international regulations, protocols and conventions to which that country is a signatory. i.e. MODU, Load Line, IOPP, Cargo gear.

- The Certificate of Registry will state general rig particulars, major rig dimensions, the designated signal letters and measured gross/net tonnage.
- Annual tonnage taxes and other dues will be calculated using tonnage figures, noted on the International Tonnage Certificate (normally net tonnage).

Registration is by payment of initial fees, attestations by the owner's attorney, "measurement" by authorized representatives. It is maintained by complying with the laid down rules and treaties and by upkeep of annual tonnage taxes. The Certificate of Registry is issued by the relevant homeport consulate e.g. Liberia and is valid indefinitely, except where specified (or if it is revoked).

- Provisional (temporary) Certificates of Registration can be issued in certain circumstances to cover the period until the Certificate of Registry is approved and issued.
- Temporary Certificates of Registry are normally valid for a period of up to six months. A rig can be required to be issued with more than one temporary Certificate of Registry prior to the issuance of the permanent certificate.
  - Associated documents
  - Master carpenter or builder's certificate
  - Annual tonnage tax receipt
  - International Tonnage Certificate, 1969 Code


## 2 FLAG ANNUAL SAFETY INSPECTION (ASI)

**Annual inspection** - due one month either side of the anniversary date.

The Country of Registry will appoint an inspector to review the vessel's safety equipment, radiotelephony equipment, documentation and manning structure.

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The inspections and surveys are carried out in order to confirm that the safety and navigation equipment are adequate (approved types), that the required documentation is held on board the vessel, and that the manning requirements are maintained.

Associated documents:

- Safe Manning Certificate
- Manning Schedule (Showing the manning requirements)

**NOTE: As part of the Flag ASI, the surveyor will look for certain publications that are required to be on board. However equivalents, such as where the rig methods of tracking and sorting 'personnel on board' substitute for Crew Articles can be accepted.**

E.g. publications normally required for MODU's registered in Liberia are:


1. Combined Publication Folder (Maritime Law Regulations, notices and requirements)
2. Liberian articles of agreement
3. Medical Log Book
4. Captains Medical Guide
5. Radio Regulations. ITU Blue Book
6. Accident Prevention Code
7. ICS Guide to Helicopter Operations\*

\*Published by the international Chamber of Shipping for ocean going vessels. N/A to MODU's.

8. International Code of Signals - Should be kept on board at the Radio Room.
9. Navigation Charts and Publications- required for area of operations only.
  - Flag Inspectors carrying out an ASI must be in possession of inspection pro-forma. A report copy should be left on board for early information and rig action. The official report will follow on inspector's report to his head office.

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e.g.:

Liberia – No Certificate is issued the Annual Safety Inspection REPORT is maintained.


Bahamas – A term Certificate valid for 1 year is issued

US Coast Guard – A term certificate of 2 years is issued

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<b>GENERAL INFORMATION ON CERTIFICATE AND SURVEY</b> <b>INTERNATIONAL LOAD LINE CERTIFICATE</b>			

## 1 INTERNATIONAL LOAD LINE CERTIFICATE

This document is issued under the provisions made by an International Treaty of Sea Faring Nations (i.e. the International Load Line Convention 1966).

The certificate is issued on behalf of the Country of Registry (who are the signatories to the treaty) by the Class society, such as ABS, DNV, GL, and BV who carry out the actual inspections/surveys. The certificate is valid for 5 years, subject to annual inspections being satisfactorily completed during the five-year period.

After these annual inspections, the Class surveyor will endorse the back of the five-year certificate to indicate the vessel has satisfactorily passed the inspection. Ensure that the attending surveyor has **endorsed** the certificate prior to his leaving the rig.

**The local Class Society office are able to issue a provisional load line certificate for a period of up to five months pending receipt of the full term certificate. The Class Principal office e.g., Houston for ABS, Oslo for DNV, will issue the full term certificate. The provisional issued by the local office allows for lead-time.**

- The certificate is valid for 5 years and the renewal survey must be done within three months prior to it expiring (this is able to be extended if started and the rig is in shipyard mode).
- An associated document that can be filed with the load line certificate is the 'Initial Record of Conditions of Assignment'.

### 1.1 ANNUAL LOAD LINE CERTIFICATE INSPECTION


**Annual inspections** are needed to maintain the International Load Line Certificate; these are due three months either side of the anniversary date.

This annual inspection is carried out by the Class Society (ABS, DNV, GL, and BV) on behalf of the Country of Registry (Flag). If the inspection is satisfactory, the Load Line certificate is endorsed.

- Ensure that the attending surveyor has endorsed the certificate prior to his leaving the rig.
- The format of the inspection is laid down by the International Maritime Organizations Conventions.

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Examples of items subject to inspection are:

- Hatchways and covers
- Scuttles, side scuttle and dead lights
- Tank vents and air pipes and closing arrangements
- Doors, companionways, fastenings
- Scuppers and sanitary discharges
- Load Marks, draft marks
- Stability data
- Watertight integrity

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<b>GENERAL INFORMATION ON CERTIFICATE AND SURVEY</b> <b>SHIP'S RADIO STATION INSTALLATION</b>			

## 1 SHIP'S RADIO STATION INSTALLATION

### 1.1 SHIPS RADIO STATION LICENSE

The Country of Registry (Flag) has the responsibility to control the radio station on board the vessels, which hold that country's registration.

A license is issued for **four years**. It describes the radio equipment on board and shows the country of registry.

The Owner or Operator will appoint a Country of Registry approved ITU accounting authority, e.g.: Mackay, Marconi or Nera, who will be responsible for the Maritime Radio Traffic accounts and delivering any relevant publications to the rig.

Until further advice NERA is the appointed AA for all Transocean Inc. owned or operated MODUs.

Accounting nowadays is normally handled by electronic means. That is the accounting authority will extract the traffic information from land station computers and invoice the rig management. This takes the place of the former regime where traffic 'logs' had to be sent in by the Radio Operator.

- The accounting authority may assume responsibility for obtaining the vessel's Ship Station License also.

**NOTE:** Normally, as in the case of Liberian Flagged vessels, only one accounting authority is permitted for a vessel.

- Any third Party radio station or Sat/Com equipment will be the responsibility of the assigned accounting authority at the time of the installation of the equipment. I.e. The accounting authority must be informed about a client's sitcom.
- The original Ship Radio License must be posted in the radio room.


### 1.2 RADIO TELEPHONY CERTIFICATE

**NOTE:** For non-propelled or propulsion assist MODU's, the IMO MODU Code Safety Certificate satisfies the RTC requirements.

For self-propelled vessel the radiotelephony Certificate will be issued by the Class Society acting for the Flag State.

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### 1.3 RADIO TELEGRAPHY CERTIFICATE (EXEMPTION CERTIFICATE)

The rig must have a Radio Telegraphy Certificate or exemption certificate if applicable (self propelled vessels only).

### 1.4 REPORT ON RADIO INSTALLATION - MODU

A valid Annual 'Ship Station Radio Equipment (GMDSS) report must be on board. This is an inspection for the Class Surveyor who requires it to complete the MODU Code surveys (See MODU Code). It can be, and usually is, carried out by a 3rd party, as the Class Surveyor may not have the competence in Radio Equipment. Using a 3<sup>rd</sup> party is allowed under the MODU Code rules. The Class Surveyor will verify that a survey has been carried out in accordance with IMO MODU requirements.

- Survival craft radio equipment and emergency position indicating equipment are included in the inspection.
- The equipment inspected will vary according to whether the vessel is self propelled or non self propelled, e.g. the radio direction finder, radio telegraphy equipment is included for self propelled vessels.


**NOTE: It is recommended to all Rig Managers to have the radio installation inspection completed approximately one month prior to attendance for the annual or renewal MODU safety Certificates survey. This will ensure that necessary report will be on board the unit and will give the time, if necessary, to carry out any repairs or adjustment to the equipment. (So that the survey can be cleared and that no outstanding are carried into the MODU Code survey).**

- A radio technician from an authorized representative of the Flag administration or the Coastal State (i.e. Marconi, Mackay, and Caprock) carries out the inspection.

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GENERAL INFORMATION ON CERTIFICATE AND SURVEY CARGO GEAR			

## 1 CARGO GEAR

### 1.1 ANNUAL SURVEY OF CARGO GEAR (E.G. ABS/DNV)

The **annual** survey period is three (3) months either side of the anniversary date of the last 'load test' carried out.

This survey relates to the cranes which are used for the transfer of material, equipment or personnel between the unit and attending vessels or when at the quay in harbor. (Offshore, these cranes are usually the 'pedestal cranes' port and starboard or aft).

I.e. it would not include an equipment specific, single purpose, crane such as the BOP Bridge Crane or small maintenance cranes fwd.

- The Class Surveyor performs the inspection and checks crane maintenance records normally when on board for the other 'annual surveys'. This satisfies for flag (Modu Code) and class (Class Cargo Gear).


Another option is available to the owner if he does not require to have Class inspect for MODU code requirements. This can be achieved by presentation to flag (via class) of an inspection program carried out by a duly authorized person or organization acceptable to the flag administration, i.e. Servtech, Sparrows. **Note however that - If the rig is in possession of a Cargo Gear Register (ABS) or a Register of Lifting Appliances (DNV) a surveyor will also need to be called on board to witness the inspection being performed.**

- If the owner dispenses with the ABS Cargo Gear Register and substitutes it with his own maintenance and inspection program that programme will become liable to audit against the Modu Code. I.e. if the programme of inspection and maintenance is not up to date or does not meet it's own requirement the Modu Code will be affected. Outstanding may be lodged against the Modu Code survey.

**NOTE:** The 'register' mentioned above in ABS/DNV Cargo Gear is a class issued register and is not to be confused with any third party register (the rigs portable and other fixed lifting equipment. e.g. Servtech Register).

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GENERAL INFORMATION ON CERTIFICATE AND SURVEY CARGO GEAR			

The survey will include:

- Visual surveys of crane structure for deformity, excessive wear, corrosion, damage or fractures.
- Visual inspection and non-destructive testing of crane hooks for deformity, excessive wear or fractures.
- Visual external examination and operational tests of crane machinery, including prime mover, clutch brakes, hoisting, slewing and luffing machinery.
- Visual inspection of wire rope including end attachments.
- Functional test including hoisting, lowering, slewing, safety and limiting devices, load, and boom angle / radius indicators.
- The Class Surveyor, if applicable, should endorse Cargo Gear Register, before leaving.

## 1.2 RETEST SURVEY OF CARGO GEAR

This inspection and re-testing of cargo gear is required by MODU and Class Society (ABS, DNV,) as applicable. i.e. cargo gear registers or crane notation on Class Certificate or for Modu Code. It is carried out prior to new cranes and accessory gear being used, and then at 5 years intervals.

- Test load example: ABS Crane Certification and Survey. (Source)

SWL of assembled crane in tons:

Proof Test Load


Up to 20 tons	25% in excess of SWL
20 - 50 tons	5 tons in excess of SWL
Over 50 tons	10% in excess of SWL

The original Proof Load test is to be carried out using movable known weights. Booms shall be tested at the minimum, maximum and intermediate radii. These radii are to be stated on the Certificate of Test together with the Proof Load used. Test rating conditions most likely to represent all intended service should be selected. The Proof Loads should be lifted and held for at least five (5) minutes.

The Proof Load test should include hoisting and lowering of the main hook load and the auxiliary hook load. Slewing and luffing, safety, fail-safe and limiting devices should be tested as well as load movement and boom angle indicators.

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**NOTE on Hydraulic Cranes:**

In the case of testing hydraulic cranes, subsequent to the initial test, when owing to built-in arrangements for limiting pressures, or in electric drive cranes where there is built-in load limiting control, and it is impossible to lift the required proof-load.

- It will be sufficient to lift the greatest possible load. However, in no case is the Test Load to be less than the SWL stated on the certificate.

A duly authorized person or organization acceptable to the flag administration performs the tests (i.e.: OCS, Servtech, and Sparrows). If the rig is in possession of a Cargo Gear Register (ABS) or a Register of Lifting Appliances (DNV) a surveyor will also need to be called on board to witness the test being performed.


Inspection and proof load tests are carried out when cranes are first installed and then every 5 years during anniversary month. Load tests are also required after any major alteration or repair.

**NOTE:** That a straight replacement of a minor component does not fall into this category. i.e. the certificates accompanying the component part will suffice. Any question as to whether to load test after changing out a component requires consultation with the Field Support Manager.

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<b>GENERAL INFORMATION ON CERTIFICATE AND SURVEY</b> <b>IMO CERTIFICATE (SAFETY CONSTRUCTION AND EQUIPMENT CERTIFICATE)</b>			

**1 IMO CERTIFICATE (SAFETY CONSTRUCTION AND EQUIPMENT CERTIFICATE)**

This certificate is issued to confirm that the approved international standards for design criteria, construction, equipment, and other safety related items are adequately satisfied. The Country of Registry (Flag) is the regulatory body regarding this certificate. (Often referred to as 'the administration' when discussing exemptions, clarifications, or approvals).

The vessel's Class Society on behalf of the Country of Registry issues the Certificate. Interim short-term certificates are issued by the local or regional class office, pending issuance of the full term certificate, which can only be issued by the Class Principal Office.

The interim certificate indicates that the full term certificate is being processed. (No outstanding conditions or corrections required). I.e. the interim is in place to allow lead-time.

**NOTE: Where outstanding requirements or corrective actions arise from an annual survey the surveyor will remove the 'full term' certificate. This is not to say it is null and void. A short term certificate will be issued and dated to correspond with the time allowed / agreed for corrections. (3 months only, normally a second 3-month extension is not granted). This conditional certificate is of limited validity and the full term will be returned when corrections are completed.**


- Valid for **5 years** – The proceedings to renew the certificate i.e. survey and dialogue with the local class society, must be started at some point during the 3 months before the 5th year anniversary. Validity of the 5-year 'full term' certificate is subject to the annual survey being satisfactorily completed.

**NOTE: The MODU Code certificate emanates from the IMO MODU 'Code'. At this time the 1979 MODU and the later updated 1989 MODU Codes are in place. Refer to the code that is associated with the rigs YEAR of BUILD. I.e. the 89 Code may require something that the 79 does not – it follows that there should be no outstanding recommendation issued on a 1979 rig that reference a requirement in the 1989 code.**

- Exceptions are published in amendments where grandfather periods are stated with an explanation as to when a regulation becomes 'in force'.

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A good example is the requirements for GMDSS\* which became effective for 'all' rigs in 1992 via the 1991 'amendments'.

(\*Global Maritime Distress and safety systems)

The MODU Codes have requirements for Stability 'criteria' and rig 'construction'. Therefore these items are subject to survey. However being that they are somewhat established at build and well catered for in any upgrade engineering, they are somewhat in the background of annual survey interest.


- Notwithstanding stability and construction, the MODU Code survey will be very active in Life Saving Equipment, Fire Fighting equipment (passive, fixed and portable). Reference the MODU Code for information.

e.g.:

- Construction
- Ventilation arrangement
- Watertight integrity
- Lifeboats and their equipment
- Life rafts,
- Portable Fire Extinguishers
- Fire and Gas Detection
- Personnel Elevators
- Cranes
- Radio equipment
- Helidecks

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<b>GENERAL INFORMATION ON CERTIFICATE AND SURVEY</b> <b>IMO CERTIFICATE (SAFETY CONSTRUCTION AND EQUIPMENT CERTIFICATE)</b>			

## 1.1 IMO MODU ANNUAL, INTERMEDIATE AND RENEWAL SURVEY REPORT

**Annual** inspections are carried out during the 5-year life of the MODU Code Certificate 3 months either side of the anniversary date.

These surveys validate the 5yr full term 'Modu Code Safety Construction and Equipment certificate. Any non-compliance discovered during the annual survey must be attended to immediately or within an agreed period.

- Failure to correct any non-compliance may result in the MODU certificate being withdrawn.

An **intermediate survey** will be carried out within a twelve (12) month period; beginning two (2) years after the commencement of the five (5) years cycle, and replace the second annual survey i.e. when dates coincide the annual survey is made to satisfy the requirements for an intermediate survey. Likewise at the 5th yr. the annual survey will be absorbed in the certificate renewal survey.

The **renewal** survey is the type of survey carried out at the end of the 5-year period. When the certificate needs to be renewed, this survey replaces the annual survey, and it must be completed by the end of the five- (5) year cycle. If satisfactorily completed a five (5) months **interim** certificate will be issued, pending issuance of the full term certificate.


Should special circumstance be applicable to non-compliance, it may be possible to obtain an exemption from the requirement. An application has to be made to the flag administration. If it can be satisfactorily demonstrated to them that the requirement is met by other methods, they will issue an exemption either in letter form or exemption certificate. The Class Society can be asked to solicit an exemption or the owner can do it himself.

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<b>GENERAL INFORMATION ON CERTIFICATE AND SURVEY</b> <b>IMO IOPP CERTIFICATE</b>			

## 1 IMO IOPP CERTIFICATE

**Annual** inspection is carried out to ensure that the requirements of the original certificate are maintained during the five (5) years before renewal.

The Country of Registry (Flag) is responsible for the issue of the IOPP (International Oil Pollution Prevention) certificate. They will use a Class Society (ABS, DNV) to carry out the necessary inspections and to issue the certificate.

e.g.:

Liberian flag MODU's have received exemption from compliance with Regulation 16 of Annex I, MARPOL 73/78, based on them having sludge tanks of sufficient capacity and drip drays/catchments where required. Additionally, a satisfactory means of cleaning and a means for discharge to a barge or by container to a reception facility is required.

The vessel's Class Society on behalf of the Country of Registry issues the Certificate. **Interim** short-term certificates are issued by the local or regional Class Office, pending issuance of the **full term** certificate, which can only be issued by the Class Principal Office. The interim certificate indicates that the full term certificate is being processed (No outstanding conditions or corrections required). I.e. the interim is in place to allow lead-time.

**NOTE:** Where outstanding requirements or corrective actions arise from an annual survey the surveyor will remove the 'full term' certificate. This is not to say it is null and void. A short term certificate will be issued and dated to correspond with the time allowed / agreed for corrective actions (3 months only, normally a second 3-month extension is not granted). This conditional certificate is of limited validity and the full term will be returned when corrections are completed.

- The full term IOPP certificate is valid for **5 years** subject to satisfactory annual survey

**NOTE:** A supplement may be found on earlier rigs. As MODUs come under ships "other than oil tankers" a Supplement is issued with the certificate. This document is required duly completed by the Class Authority.

It must be attached to the said IOPP certificate. The supplement specifies vessel details with regard to catchments or equivalent measures. In this situation the IOPP certificate is not valid without it's 'supplement.

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GENERAL INFORMATION ON CERTIFICATE AND SURVEY IMO IOPP CERTIFICATE			

- The collection and disposal of all oily waste from drip pans, tanks, separators or any other facilities is most important to the validity of the certificate.
- Normally valid for 5 years, the IOPP certificate is one of the documents required to be in order before the vessel will be allowed to leave port (Invergordon / Rotterdam, etc.).

**Background:**

Conventions and protocols since the first multilateral agreements for ships (1954) have modified and amended the regulations pertaining to marine pollution. The meetings of 1973 and 1978 have modified and amended the existing text and produced the regulations MARPOL 73/78 which came into effect in 1983.

**Relevant publications are:**

- MARPOL 73/78 and subsequent amendments
- Annex 1 of ~ 73/78
- Guidelines for the implementation of Annex V of MARPOL 73/78 (Plastics / food / waste / garbage etc.)

**1.1 IMO IOPP CERTIFICATE ANNUAL, INTERMEDIATE AND RENEWAL SURVEY REPORT**

**Annual inspection due 3 months either side of anniversary month.**

These inspections and surveys are required to ensure that the vessel operates and is maintaining oily waste and other waste disposal procedures, which it has implemented to comply with international requirements.


The vessel's Class Surveyor on behalf of the Flag carries out surveys.

**An example a Surveyor will look at:**

- Arrangements for the collection of oily waste, pumping facilities, sump or tank capacities or tank capacities and connections.
- Gauging and measurement of stored wastes.
- System for back loading – bulk or drums
- International shore connections placement and condition, use of, (sizes to be standard)

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- Oil Record Book, approved type, proper and current entries
- Security against accidental discharge – system operations, alarms, procedures.
- Machinery bilges, bilge-pumping arrangements. Thrusters, being machinery spaces, are included. Therefore, procedures must be followed to avoid overboard discharge.
- MARPOL also addresses other waste products such as plastics, general garbage, and food wastes. Suitable arrangements for their proper disposal are part of the requirement (wire rope, paint tins and scrap steel to be included).

An **Intermediate** survey will be carried out within a twelve (12) month period, beginning two (2) years after the commencement of the five (5) year cycle. The intermediate will replace the annual survey where dates coincide.

The surveyor will endorse the reverse side of the full term certificate on satisfactory survey. If outstanding requirements or corrective actions are issued then a **short term** certificate will temporarily take the place of the full term Certificate. The conditional will state the time limit for taking corrective actions. As in the MODU code Certificate this is normally 3 months depending on the type of deficiency. Ensure that deficiencies are corrected to further ensure that the full term IOPP Certificate is returned in good order. The rig does not meet its international trading compliance without a valid certificate.


The **renewal** survey is carried out at the end of the five-year period, when the certificate needs to be renewed. It replaces the annual survey, and must be completed by the end of the five-year cycle. If satisfactorily completed a five-month **interim** certificate will be issued, pending issuance of a full term certificate.

- The interim indicates satisfactory survey and allows lead-time for the new full term certificate to arrive.

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<b>GENERAL INFORMATION ON CERTIFICATE AND SURVEY</b> <b>ISM SAFETY MANAGEMENT CODE</b>			

## 1 ISM SAFETY MANAGEMENT CODE

### 1.1 ISM-SAFETY MANAGEMENT CERTIFICATE (SMC)


1. The SMC is issued to a ship following initial verification of compliance with the requirements of the ISM Code. This includes verification that.
2. The DOC issued to the Company is applicable to that type of ship.
3. Assessment of the shipboard SMS verifies it complies with the requirements of the ISM Code and that.
4. It is implemented and is functioning for at least three months on board the ship. Objective evidence of this is to be available, including internal, records from the internal audit performed by the Company.
5. The SMC is valid for a period of five years subject to at least one intermediate verification carried out at 2 1/2 years plus or minus 6 months.
6. Verification will confirm the effective functioning of the SMS, and that any modifications carried out since the previous verification complies with the requirements of the ISM Code.
7. Renewal of the SMC should include an assessment of all elements of the SMS pertaining to that ship and regarding the effectiveness of the SMS in meeting the objectives specified in the ISM Code.
8. Only the issuing Administration may withdraw the SMC. An SMC may be withdrawn if intermediate verification is not requested or if there is evidence of Major Non Conformity with the ISM Code.
9. Withdrawal of the SMC will cause the ship to cease operations.

### 1.2 ISM-DOCUMENT OF COMPLIANCE (DOC)

1. The DOC is issued to a Company following an initial verification of compliance with the requirements of the ISM Code.
2. The DOC is issued following verification that the SMS of the Company complies with the requirements of the ISM Code. The verification must demonstrate that for at least three months. The company SMS has been in operation and SMS has been in operation on board at least on ship if each type operated by the company.
3. The DOC is valid only for the types of ships on which the initial verification was carried out.
4. The DOC is valid for a period of five years subject to annual verification within three months before of after the anniversary date confirming the effective functioning of the SMS.

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<b>GENERAL INFORMATION ON CERTIFICATE AND SURVEY</b> <b>ISM SAFETY MANAGEMENT CODE</b>			


5. This should include the examination and verification of the correctness of the class and statutory records for at least one ship of each type to which the DOC applies.
6. Renewal of the DOC should include assessment of all the elements of the SMS regarding its effectiveness in meeting the objectives of the ISM Code.

### 1.3 ISM NON-CONFORMITIES AND RECOMMENDATIONS

Corrective and Improvement Actions resulting from an ISM audit are to be planned and tracked utilizing the **FOCUS** Planning and Tracking software.

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<b>GENERAL INFORMATION ON CERTIFICATE AND SURVEY</b> <b>FLAG EXEMPTION GRANTED</b>			

**1 FLAG EXEMPTION GRANTED**


There are occasions when written requests are made to a flag administration regarding a unit's exemption from compliance with certain regulatory requirements. Although a written response granting an exemption may be received for a specific unit the exemption is usually applicable to all units of same circumstance. Where an exemption may be applicable advice should be sought from the field support group.

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GENERAL INFORMATION ON CERTIFICATE AND SURVEY STRUCTURAL SURVEY			

## 1 STRUCTURAL SURVEY

The Class Society (ABS, DNV) conducts its structural inspection programme via **Annual, Intermediate and Major / Special Periodic Surveys**. They will credit the satisfactory completion of survey items to the **Certificate of Classification**.

For units on a continuous survey cycle the aim is to complete approximately 20% of the survey items each year. However this 20% is flexible and will depend on operational commitments.

**Annual:** Visual examination above the waterline, with internal inspection of critical areas, as considered necessary.

**Intermediate:** Annual scope plus a UWILDD

**MAJOR / SPECIAL PERIODIC SURVEY:** Carried out at the end of the five-year cycle. This survey is more extensive than an annual i.e. with external/internal inspection combined with UWILDD. It is best carried out in sheltered waters with the rig at shallow draft. The **MAJOR / SPS SURVEY** is used to recapitulate on continuous items (such as Hull Tanks) and to complete as many survey items credited as possible.


- The Class **STATUS** is the best method to track the due dates for the various equipment and associated surveys such as the UWILDD.
- Enhanced visual and Non Destructive Examination (NDE) of critical areas combined with a UWILDD and thickness gauging of selected areas of hull structure is required at the Major / Special Periodic Survey. This survey may be commenced on location, and completed in sheltered waters with the rig at shallow draft.

**NOTE:** Skin valves such as the sea inlets are required to be examined internally at the 5<sup>th</sup> year. This requires divers to blank off the inlets. The requirement can be split i.e. do port side at intermediate survey and complete with side at the major survey. However, the valve 'due dates' will then also be split. It is preferable do all inspections at the 5<sup>th</sup> year.

**NOTE:** Where units have satisfactorily completed a life enhancement programme, the structural inspection programme will be modified accordingly, taking this into consideration.

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**Owner's requirements:**

- The owner's requirements for NDE and inspection can be over and above the requirements of class. A typical example is the TYPE 4 inspection performed on 700 series rigs.

This inspection requires NDE of external weld connections (Normally Magnetic Particle Examination). Where a Type 4 inspection applies the rig should contact the Field Support Group for advice well before the Major / SPS survey is due, as the owner's requirements are normally carried out at the same time.

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GENERAL INFORMATION ON CERTIFICATE AND SURVEY ANNUAL SURVEY – PREVENTIVE MAINTENANCE SYSTEM (PMS)			

## 1 ANNUAL SURVEY - PREVENTIVE MAINTENANCE SYSTEM (PMS)

The PMS records are reviewed / inspected to ensure that the maintenance and condition checking of equipment complies with Company standards as well as Class Society requirements (ABS, DNV).

Being 'approved' the 'PM system' itself comes under survey. Satisfactory 'PM system' survey will require that the PM procedures and records pass audit.

Provided that the PMS records are of an acceptable level and quality the surveyor will require no more than a general examination plus a satisfactory demonstration of safety devices and alarms.


- An **annual** review of the PMS records, by the surveyor, is carried out at the same time as an annual survey for class. Satisfactory completion and crediting of this review negates any need to submit and 'annual PMS report' to class headquarters (i.e. ABS).
- The surveyor will issue a report on the PM system (No Certificate is issued other than the initial 'PM system Approval' Letter. Note that the approval is subject to satisfactory annual survey.

**NOTE on DNV: Chief Engineers as appointed by the owner and as approved by the class society (particular to DNV) are approved to work within the PM system and are approved to credit items over the period. For example, when equipment is opened for service or repair an 'Approved Chief Engineer' is approved to credit this to the Continuous Class Survey.**

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GENERAL INFORMATION ON CERTIFICATE AND SURVEY ANCHOR CHAIN INSPECTION			

## 1 ANCHOR CHAIN INSPECTION

As a component part of a mooring system, anchor chain inspection is required by class and on occasions by a coastal state - depending on the unit's area of operations. However the extent of the requirements can vary, i.e. DNV quotes API RP2I in their rules whereas others do not. The inspection is designed to ensure that an anchor chains is maintained to an acceptable standard.

Owners inspection criteria take into consideration the chain 'age' and 'Service life' which he computes with present chain 'conditions' (conditions reported from rig moves are important). In addition a unit's area of operation, loading and tensioning since the last inspection, mooring analysis can be taken into account.

- Equipment Maintenance Standards detail inspection requirements.


Inspection is normally carried out with class surveyor involvement at the intermediate and at the five-year interval. It is part of the Special Periodic, Major, and continuous survey completions.

Reference will be made to the Class Certificate '**Notations**' and the Class rules when discussing the survey 'scope' with Class. The owner's requirements are generally in line but it is possible they can be 'less'. Less may be acceptable depending on the class notation. The objective is to always know the condition of the mooring system before performing operations.

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GENERAL INFORMATION ON CERTIFICATE AND SURVEY COASTAL STATE REQUIREMENTS – GENERAL INFORMATION			

## 1 COASTAL STATE REQUIREMENTS - GENERAL INFORMATION

Coast State specific reports and certificates are required to be kept for a vessel operating within a country's coastal area (e.g. Norway, UK, US).

Coast State requirements will obviously vary from country to country and sometimes from Installation to Installation.

Where a coastal state has no specific requirements, the class and flag certification status will be the criteria to meet.

### Examples of Coast State Compliance:

#### 1.1 UNITED KINGDOM - VERIFICATION SCHEME

The Safety Case Regulations (coming into effect after Lord Cullen's inquiry and subsequent recommendations on the Piper Alpha disaster) saw us develop and prove the 'Case for Safety'.

**Although lengthy and involved in process the exercise resulted in each unit having its own case documented and put on board. Namely - the Installation SAFETY CASE.**

The 'Safety Case' is the United Kingdom's approach to offshore regulation and represents a full refurbishment of existing regulations ensued.

To this end Lord Cullen's recommendations (wholly adopted by the UK Government) made provision for further 'underpinning' regulations. That is, regulations made to give the Safety Case the "solidity it might otherwise lack" (Cullen).

Of note are: -

SI 743

**The Offshore Installations (Prevention of Fire and Explosion, and Emergency Response) Regulations 1995 (PFEER)**

SI 738


**The Offshore Installations and Pipeline Works (Management and Administration) Regulations 1995 (MAR)**

SI 913

**The Offshore Installations and Wells (Design and Construction etc.) Regulations 1996 (DCR)**

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SI 1996 / 913 (Design and Construction regulations) modified the 'Safety Case Regulations' to call for identification of the 'Safety Critical Elements' - their examination by 'Independent and Competent person' - the continued 'Assurance' of their 'Suitability and Integrity' etc. as can be seen 'Underpinning' the Safety Case. A '**Written Scheme**' is required to corroborate such activities and ensure they remain as an active, continuous program throughout the unit's life cycle. Parts of the PFEER regulations (i.e. SI 743, Fire Fighting, Life Saving equip, explosive atmospheres, etc.) have the same requirement and will also be in the scheme. The scheme will be known as the '**VERIFICATION SCHEME**' (also known as the Written Scheme of Examination).

#### 1.1.1 VERIFICATION SCHEME – ANNUAL SURVEY

The 'Safety Critical Elements' (SCE's) identified in the Verification Scheme are subject to **annual** survey or to a survey schedule as agreed by the Independent Competent Person (ICP) who is also identified under the scheme. The survey may be done by anyone who is independent enough to be objective without prejudice and who is competent in the sphere of activity. At present the Class Surveyors usually carry out this task at the owner's request.

- The ICP will report to the owner (Not any Coast State or other regulatory body). The owner is obliged by regulation to take all necessary steps to ensure that corrective action; observations or recommendations made by the ICP are properly dealt with.
- Solution usually requires ICP and owner agreement.

#### 1.1.2 MARKING OF INSTALLATIONS

The UK 'Continental Shelf Act' and associated regulations require that the installation be fitted with appropriate lights and sound signals. These 'Aids to Navigation' are specific to the UK coastal state and are additional to any required by the International Rules for the Prevention of Collisions at Sea (Colregs).


**It is important to note that the 'Consent to Locate' i.e. the UK approvals, requested and given before the unit anchors or operates in UK waters is subject (inter alia) to the provision of the markings and lights etc.**

**Criteria and specifications for such aids are given in a 'Standard Marking Schedule', which does the associated government department issue.**

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- Survey of aids to navigation on offshore structures

It is vital that the lights, sound signals and markings are provided and maintained in good working order. Apart from the obvious reduction in safety of navigation, the 'Consent to Locate' (approval) can be withdrawn with little or no warning - stopping operations.

**NOTE: A rig operating in the UK will occasionally be inspected from seaward by a government vessel. This unit at any time be able to indicate what lights etc are provided and give their details.**

- The form below shows the detail that should be on hand.

#### 1.1.3 AERONAUTICAL RADIO STATION AND NAVIGATION AIDS (NON DIRECTIONAL BEACON) LICENSING

The Wireless Telegraphy Act 1949, Air Navigation Order, The Civil Aviation Act 1982, plus associations with international agreements on telecommunications enact the UK controlling measures concerning flight safety. These require a 'Station License' for the aeronautical radio apparatus and a license for the Non Directional Beacon. (Equipment as used in helicopter navigation).

The Civil Aviation Authority (CAA) who passes the approval details to the Radio Telecommunications Agency issues licenses on application.

The agency administers the license 'fee' – at present they invoice this annually.


- The licenses are valid indefinitely subject to renewal of annual fees and updating of the CAA on major changes in equipment (equipment has to gain their approval).
- The license gives coast state approval to operate the helicopter frequencies and the non-direction beacon. They are part of the Coast State safety management of air traffic.

#### 1.1.4 HELIDECK APPROVAL

The Helideck must conform to the standards and regulations laid down by the Coast State and the flag administration. Structurally it must conform to the Class Society requirements.

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Coast State: UK -as per Civil Aviation Publication 437 (CAP 437) guidance document.

Class Society: As per the society rules. Additional requirements if the rig has a class notation 'HLD' (Helideck)

Flag: As per the IMO MODU Code 79 or 89 as applicable to year of build. Reference can also be had in the 'Guide to Helicopter / ship Operations issued by International chamber of shipping.

Surveyors from the Civil Aviation may visit from time to time. The Class Society will survey annually on behalf of the flag administration's MODU Code.

The Helideck should be 'marked' per the Coast State requirements. For areas with no coast state requirements it should be marked per the MODU Code requirements.

**A drawing showing the Helideck markings, obstacle free sectors, and other pertinent helideck features should be made and held on file. This drawing requires submittal to the CAA for approval. (UK). The Class surveyor will check the helideck against the approved drawing at his annual survey.**

Other:

## 1.2 STATEMENT OF FACT REPORTS


There may be instances when a Class society is requested to perform a specific task or inspection, out with the normal class, flag or coastal state surveys, and asked to issue a report. The report will consist entirely of statements of conditions "as found", and normally referred to as a 'statement of fact' report.

A report of this type has no official standing with respect to class, flag or coastal state legislation and will contain no recommendations, it has no impact on any certificate held by a rig under 'Certification and Survey.

As an example for one of our units holding a 1979 MODU Code Certificate, the Company may require to determine the unit's degree of compliance with the 1989 MODU Code. The relevant class society could be requested to review existing technical data, carry out an inspection, and to issue a statement of fact report. This would NOT result in the issuance of a 1989 MODU Code certificate to the unit.

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<b>SURVEY ACTION PLAN</b> <b>PART A</b>			

The information below will assist you in planning surveys. The 'Action Plan Supplement - PART B' notes the survey approach regarding hardware.

Ensure that all survey items are 'maintained in condition' via the rigs 'Preventative Maintenance System' i.e. do not rely on the survey system. Good surveys, apart from being essential to Safety and the Regulator save many disciplines a huge amount of work.

- Check the rigs survey 'status' as issued by the class society. For ABS Class Status can be accessed via the ABS SafeNet and for DNV Class via the DNV Exchange. Review survey due dates against rig activity, and any outstanding recommendations or non-compliance's.

1. Objective:

To know what surveys are coming up and to be aware of the outstanding recommendations that remain to be cleared or credited. Where practicable the aim must be to delete all Outstanding Recommendations or Non Compliance's from existing reports at the survey time.

To plan the survey activity i.e. the best time to do 'annuals' is when the rig is drilling ahead. Preferable as early as possible in the survey 'window'. The supervisors and trades will be more available to the survey during drilling ahead. The applicable SUPERVISOR should always accompany surveyors.

- Contact the field support group and arrange for surveyor attendance for the rig-selected dates. An updated status should be obtained.

2. Objective:


This action should immediately identify on the survey status that the unit is under attendance' it could be of particular importance if you are running out of a window since it may buy time and delay a 'suspension of class' action by the Class Society.

The checksheets will itemize the structure and equipment, giving due or done dates and will enable you to identify specific items coming due at any given time.

- Identify the due surveys and items from the checksheets and advise the responsible rig personnel.

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3. Objective:

If the person responsible is made aware that specific items will be examined, he must prepare for this. Any deficiencies or items that may affect satisfactory surveys should be discussed. If there is question as to their applicability (to the survey) then the advice of field support group should be sought. Review the items on continuous survey list (see Status) and observe for due dates. Decide what can be caught at the upcoming surveys.

- Check and test survey items and confirm they are operational prior to the survey visit.

4. Objective:

To avoid accumulating Outstanding Recommendations or Non Compliance's, particularly trivial ones. For details of particular items to be checked for specific surveys, the instructions provided in the attached Action Plan Supplement are to be followed.

- Review rigs non conformance's listings, open job control forms (put against previous outstanding recommendations)

5. Objective:

To rectify the deficiencies before the survey visits and thus keep survey reporting to a minimum. This may not always be possible due to waiting on parts' etc.

- When the rig has decided on the survey visit. Request a surveyor's attendance in writing (fax, e-mail or letter to the class society contact office) and get a written response. State the surveys to be done and request a fee be quoted for each survey, in order to raise a purchase order number.


6. Objective:

The Class Society should be given as much advance warning as possible for when a surveyor will be required. If, for any reason, no surveyor is available, the correspondences will be the rigs evidence that it was available for survey. This will be very important in situations where surveys issues overrun or if surveys become overdue.

It is advised that a pre-survey meeting be held with the assigned amending surveyor and an agreed agenda set. If it is decided (at the rig manager's discretion) that a slight delay would have no impact, careful consideration must be given to the danger of impacting missed opportunities that may result in even the slightest delay. If once on board, the surveyor requires deviation from an agreed agenda (and for no apparent reason), the matter can be brought to the immediate attention of the Rig

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Manager and the Class Principal Surveyor for the area.

- For rigs on a continuous survey cycle, plan to survey and credit approximately 20% of the survey items listed on the check sheet, each year. It is important that is being completed to detect existing or potential problems and still have time to rectify them.

7. Objective:

Schedule the survey program over a five-year period and avoid a major inspection program towards the end of a survey cycle.

The updated Status i.e. listing of equipment on continuous survey is reviewed by the rig and the surveyor to get applicable items of machinery and equipment credited, and will complete and credit the annual survey-PM.

- The surveyor is to be accompanied by the responsible person, depending on the item (s) being surveyed at the time, (barge super / mechanic / electrician etc). Try to rectify OSR's found at that time and get them cleared before the surveyor leaves the rig.

8. Objective:

To limit the number of OSR's that will be listed in the applicable report (i.e. OSR's that can be cleared before the surveyor leaves, should be closed out.)

- The duty of the surveyor is to remain on board and be available until no further progress can be made on a survey. Ensure the Surveyor leaves a preliminary report on board, before leaving, listing agreed OSR's. Copy the preliminary report to the Field Support Group as soon as possible.

9. Objective:

To ensure surveys and preliminary reports are done correctly and to rectify any mistakes via Class Society management, and to ensure NO additional surprise OSR's appear on the final reports. Surveyors can and do make mistakes. Review by the Field Support Group to identify and question inaccuracies.


- Rectify the OSR's on a priority basis.**

10. Objective:

To identify and clear OSR's which will have an impact on the rig's Certification Status if not rectified promptly. A major OSR on a continuous survey cycle, i.e. a

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structural repair and steel replacement, will have no immediate impact if there is a year left on that cycle. However, an OSR such as a seized vent closure at the end of an annual survey window could have an immediate critical impact (i.e. by a 'suspension of class' action) if it has not been closed out.

- Monitor progress reports on the OSR's from the rig, and ensure that targets will be met. Do not leave OSR's unattended. All OSR's are required to be planned and tracked in the FOCUS Planning and Tracking Software ( See Non-Discretionary Sources FOCUS Improvement Process HQS-CMS-GOV Section 5 Subsection 4 )

11. Objective:

To clear OSR's as quickly as possible. If the progress reports being received from the rig are uncertain, the rig manager or his staff engineer should visit and verify the status personally (to avoid possible penalties caused by misunderstanding or by being misinformed).

- At appropriate stages of completion - advise the class society contact office in writing of the OSR's completed which can be verified at the next due ABS attendance. Include the OSR's 'in hand' or 'waiting on parts' that cannot be completed and advise that these must therefore remain pending. Copy the letter to field support.

12. Objective:

To advise all parties concerned in case dialogue is needed and to confirm close out with ABS. Written confirmation of OSR's completed, from a responsible person; in some cases satisfy in lieu of a verification visit by a surveyor. Upon receipt, the Field Support Group will liaise with the CS area office on such issues, to pre-empt any possible problems with the Class Society.

It is stressed that written confirmation of OSR's being completed must only be provided when the OSR's actually are closed out. Experience show's this has not always been the case.


- Prepare for the next due surveys.

13. Objective:

As per action 1, back to the Certificate and Survey Binder. It will be necessary to take into account those OSR's that have been cleared by correspondence, but remain to be verified by the attending surveyor on his next due visit, and credited.

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<b>SURVEY ACTION PLAN SUPPLEMENT</b> <b>PART B</b>			

**NOTE:** The secret to trouble free surveys lies with the Preventive Maintenance System.


Being that all equipment is maintained in condition, via the preventive maintenance system, requires only minimal preparation, Ensure that the items mentioned below are well maintained in the PM System and subject to regularly scheduled maintenance.

## 1 PM PLANNING

- PM scheduling of surveys. The survey can be planned at the best time for the rig if PM scheduling prompts the requirements. Within the 5-year cycle nearly all surveys are done annually. Centered on the due date, they can be done for class and flag inside the "3 months ahead - 3 months behind" window. The PM requires to task surveys in the first 3 month part. This is to allow for any corrective actions arising from the survey, (clarifications, equipment part or repair may take time).
- For the same reason, as much as practical maintenance must not be left for the shipyard. All topside and accessible items not being modified or major repaired at the shipyard are to be scheduled ahead of the shipyard visit.
- Some surveys such as Crane Testing\* have no windows (can be done ahead of time but not behind). The "flag" Annual Safety Inspection for instance, has a window one month either side of due date. Check your surveys. \*Where applicable (i.e. cargo gear) register for Flag or if Class Notation (e.g. crane).
- The best time for annual surveys is usually when the rig is drilling ahead. Here the equipment, such as fire and gas detection and structure are not interfered with (as they might be at other times e.g. shipyard. **Rig Department Supervisors are more readily available to attend with the surveyor. This assists to avoid unnecessary outstanding recommendations , since clarifications and corrective actions can be addressed immediate.**

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## 2 PMS

- Items should be clearly described on a PM task, e.g. the flares and parachute rockets in lifeboats should be listed by expiry date. A PM task should "initiate" ordering and renewal ahead of time.

This supplement gives further details on survey items. Proper PM scheduling will eliminate, or at least reduce to an absolute minimum, the number of outstanding recommendations (OSR's) given during a survey. In this regard any OSR, no matter how minor, can have a direct impact on a unit's class and statutory status.

## 3 GENERAL

### 3.1 CURRENT OUTSTANDING RECOMMENDATIONS

Check and ensure that OSR's carried over from previous surveys has been addressed and can be deleted. This applies where written confirmation from the rig has already been accepted by the class society, pending verification at the time of the next due survey, and is applicable to both class and flag. Confirm that the OSR has actually been closed out.

## 4 CLASS AND LOADLINE

### 4.1 HATCHES

Check that hatch comings and covers are in good condition and will close properly, that the rubber is firmly in place and is not perished, that the retaining channel is intact, and that there are no damaged, missing or frozen dogs that will not secure the hatch watertight.


### 4.2 MACHINERY SPACES

Check the condition and effectiveness of doors, hatches and ventilators to the space. Check that the closing devices will function properly and provide a watertight closure.

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#### 4.3 FLUSH MANHOLES

Check that all bolts are in place, and secure.

#### 4.4 WATERTIGHT AND WEATHERTIGHT DOORS

Check that doors are in good condition and will close effectively, that the rubber seal is firmly in place and in not perished that there are no damaged, missing or frozen dogs that will fail to secure and prevent a watertight closure.

#### 4.5 VENTILATORS

Check the condition of the coaming and that the fire flaps are operable with the open/closed position clearly marked. Check that the watertight cover are in good condition and can be closed and bolted in place. For mushroom ventilators check that the handwheels are free to operate and not frozen. Note that ventilators extending 4.5M above the freeboard check do not require w/t closures but do require fire flaps. Check that they are functional. Check that accommodation vent covers are in good condition, can be closed and bolted in place.

#### 4.6 AIR VENT AND SOUNDING PIPES

Check the condition of the pipe on deck that the closing device is functional and, in the case of the sounding pipe, screwed in place. Ensure that the remote readout in the control room is accurate. Note that the requirement to fit wire mesh to ballast tank vents is no longer applicable, and need not to replace if missing (however clean/remove properly if this is to be). Fuel tanks do require 'flame screens' which are similar to the 'bird mesh' seen on other vents.

#### 4.7 OVERBOARD DISCHARGES


This should be effectively covered by the PM system, but ensure that the reach rod for positive closing is intact and functional. For deck scuppers check that drainage is free of obstruction.

#### 4.8 PORTLIGHTS

Check that the deadlights are in place and in good condition, and that they can be closed properly.

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#### **4.9 GUARDRAILS**

Check that the guardrails, stanchions and toe boards are intact, including chains fitted in way of access to vertical ladders etc. in the case of jack-ups particularly in way of leg wells.

#### **4.10 LOADLINE**

Check that load line (Draft marks and Pilmsol lines) marks are clearly visible.

#### **4.11 MACHINERY**

The surveyor will review of the onboard PMS records to verify compliance with the annual survey-PM will cover most items, but check that bilge alarms and engine safety devices are functional, and that the emergency generator will come on line on loss of main power. Check that the remote fuel shut-offs are functional. Note that at the end of a five (5) year cycle the main sea valves, chests and strainers need to be opened for examination.

### **5 IMO MODU CODE**

#### **5.1 INTERNAL AND EXTERNAL OPENINGS**

Check the condition and operational features of hydraulically operated doors and function test the remote and local controls, indicators and alarms as applicable.

Check that openings, which are to be kept permanently closed whilst afloat, are properly marked. Where chain locker seals are fitted ensure that they are functional.

#### **5.2 VALVES AT WATERTIGHT BOUNDARIES**


Check the remote and local operational function of valves, including the indicator panel in the control room.

#### **5.3 MACHINERY**

Check that personnel protection is in place, such as guards in way of belts and other moving parts. Check the ventilation shutdowns are functional, that piping systems are in good condition and not leaking, and that gauges are operational and calibrated where necessary. Check that dead-ship start-up had been verified and logged.

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#### 5.4 PRESSURE VESSELS

Check that relief valves have been verified and set. That gauge glass is in good condition and suitably protected against breakage.

#### 5.5 EMERGENCY POWER

Check that the complete emergency system has been periodically tested and logged in the PMS, and that automatic start-up of the emergency generator operates on loss of main power.

#### 5.6 ELECTRICAL

Check that all earth scraps are intact to provide proper grounding. Check the conditions of all cables trays of wear and damage and verify that proper support is provided, that cables glands are intact, that all lighting is functional and with not cracked or broke glass. Check that reverse power relays have been tested and logged. Check that switchboards are suitably guarded, and that rubber mats are in place, that batteries and charging facilities are functional.

#### 5.7 HAZARDOUS AREAS

Check the condition and function of all self-closing doors, purge air and ventilation systems, and verify the operation of alarms and shutdowns for loss of pressure differential.

#### 5.8 FIRE PUMPS


Check the overall condition of all fire pumps including start-up, that there are no leaks particularly in way of valves, and that sufficient water is supplied to tow hoses simultaneously at least one of which is a helideck level. Check the overall condition of the main fire, including the international shore connection.

#### 5.9 FIRE STATIONS

Check the condition of the hydrant couplings, hoses, nozzles and connections that handwheels are operable and spanners are in place. Note that washdown connections are allowed and, if commented upon, draw the surveyor's attention to the drawing in the approved operations manual, which should confirm this.

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#### 5.10 FIXED FIRE FIGHTING

Check the overall condition of sprinkler, foam, CO<sub>2</sub> and Halon system including pumps and cylinders that servicing has been carried out and is valid including a foam sample analysis, certificate, and that controls and alarms are operable. Note that for CO<sub>2</sub> cylinders, which are 20 years old, testing is a flag requirement.

#### 5.11 PORTABLE EXTINGUISHERS

Check that all portable extinguishers are properly located, have been regularly examined and serviced as part of the PMS and tagged, and that spare charges or extinguishers are on board. If extinguishers are sent ashore for servicing ensure spare extinguishers replace them, and that certificates are supplied with the returned extinguishers.

#### 5.12 FIRE AND GAS DETECTION

Check that the systems are functional including visual and audible alarms, that ventilation shutdowns will activate, and that the portable gas detectors are in satisfactory condition.

#### 5.13 FIREMAN OUTFITS AND EQUIPMENT

Check the condition of each item, that each breathing apparatus has been tested, charged, and has the proper spares.


#### 5.14 LIFEBOATS\*

Check the overall condition of the hull and associated fittings such as lifelines safety belts and release mechanism. Check that the engine has been regularly tried out and the fuel tank, engine cover and exhaust are in satisfactory condition, that the various drills have been carried out and logged, that the lifeboat is fully equipped, with pyrotechnics in date. Check that the water spray system if fitted is satisfactory, that the lifeboat is properly identified including on the cover, and that launching instructions are clearly displayed at the embarkation stations.

Similarly, check out the overall condition and operational status of the lifeboat equipment if it is assigned (doubles) as a rescue boat (i.e. additional equipment is required such as thermal aids).

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#### 5.15 LAUNCHING APPLIANCES

Check the overall condition of winches and davits, the lowering and recovery, and hand gear. Check that the davit wires have been turned end for end or renewed as required, and logged, that the falls are in satisfactory condition, and that the limit switches are functional.

#### 5.16 LIFERAFTS

Check that the liferaft servicing certificates are in date, that the hydrostatic releases and weak links have been serviced and tagged, that launching instructions have been posted, and that embarkation ladders or nets are in satisfactory condition where fitted.

#### 5.17 LIFEBOOYS AND LIFEJACKETS

Check the overall condition, that lifebuoys are properly marked and that lifelines, lights and signals are satisfactory and in date, that lifejackets are properly marked with reflective tape and whistles attached, and that self-igniting lights and batteries are in date.

#### 5.18 CONTROL ROOM

Check the condition and validity date of the line-throwing apparatus and projectiles, that the distress signals are in date, and that the satellite EPIRB battery and release mechanism are in date. Function check the general alarm and public address, and verify that full coverage is provided around the rig. Check SARTs are in date and that liferaft IMO approved radios are in proper operating condition.

#### 5.19 RADIO ROOM

Check that a radio technician has carried out an annual survey and that a report is available on board. If the report contains recommendations, rectify these before the surveyor's visit. Check that the OIM, Barge Engineer or someone on board, has a valid Liberian radio license. Check that the Ship Station Radio License is posted.


Check that GMDSS equipment is in order and that a maintenance contract (or competent person attendance) is in place.

#### 5.20 LIFTING APPLIANCES

Check that cranes, elevators and other lifting appliances have had the applicable third party inspection or test, and that the applicable report or certificate is on board.

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If there are any recommendations, rectify these before the surveyor's visit. Check that the crane cab contains a load-rating chart and that the boom angle indicator functions properly.

Check that a Flag has inspected the Personnel Elevators approved (approved via class) 3<sup>rd</sup> party. This may be an elevator or 'lift' specialist or the lifting gear 3<sup>rd</sup> party. Check with field support if unsure. For DNV it has to be an approved person competent in 'lifts'.

#### 5.21 HELIDECK

Check the condition of the helideck markings, perimeter net, safety net, gutter way drainage and lights.

#### 5.22 POLLUTION

Check that the Liberian oil record book that been kept up to date. Check the condition of the oily water separator, if installed, including the alarm and automatic stopping device.

#### 5.23 INTERNATIONAL REGULATIONS FOR PREVENTING COLLISIONS AT SEA, 1972. (COLREGS).

Check the condition of all required lights and sound signals.

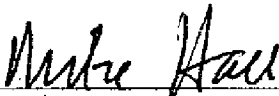
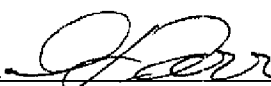
**NOTE:** For owners Safety Case (Verification) or perhaps Coast State where required ensure that the 10 or 15 mile 'Nav Lights' are flashing in unison (the Morse letter 'U').

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**APPROVALS**

Approved by: <u></u> Signature	<u>Mike Hall</u> Name	<u>VP Engineering &amp; Technical Services</u> Position
Approved by: <u></u> Signature	<u>Dan Farr</u> Name	<u>TFS Coordinator</u> Position

**TABLE OF REVISIONS**

Revision No.	Effective Date	Description of Change	Prepared By	Position	Reviewed By	Position
Issue: 01 Revision: 00	1 March, 2003	New Issue	Alan Whitmore	QA Advisor Corporate Ops	Mike Hall	VP Operations Technical Support
Issue: 02 Revision: 00	11 November, 2004	New Issue	Dan Farr	Technical Field Support Coordinator	Mike Hall	VP Engineering & Technical Services

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