

驗船機構船舶檢驗品質稽核規劃委託研究案

一、國際海事組織 MSC. 349(92)驗船機構章程(中英對照版)

二、驗船機構技術稽核作業指導書

三、相關書式文件

(一)驗船機構稽核報告

(二)驗船機構稽核檢查表

(三)稽查開場與閉幕會議出席記錄

(四)稽核員說明

(五)觀察報告

(六)符合證明文件

(七)不符合報告

**CODE FOR RECOGNIZED ORGANIZATIONS
(RESOLUTION MSC.349(92))**

驗船機構章程
(MSC.349(92)決議案)
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PREAMBLE 前言

The Code for Recognized Organizations (RO Code) was adopted by the Organization by resolutions MSC.349(92) and MEPC.237(65).

國際海事組織經MSC.349(92)與MEPC.237(65)決議案，採納通過了驗船機構章程（簡稱RO章程）。

This Code:

本章程：

- .1 provides flag States with a standard that will assist in achieving harmonized and consistent global implementation of requirements established by the instrument of the International Maritime Organization (IMO) for the assessment and authorization of recognized organizations (ROs);
提供船旗國一種標準，該標準將協助達成國際海事組織準法律文件所建立之統一與一致性之全球履行要求，以評估並授權驗船機構。
- .2 provides flag States with harmonized, transparent and independent mechanisms, which can assist in the consistent oversight of ROs in an efficient and effective manner; and
提供船旗國一種統一、透明而獨立之機制，使之得以迅速有效而且一致方式監督驗船機構。
- .3 clarifies the responsibilities of organizations authorized as ROs for a flag State and overall scope of authorization.
闡明被授權為某一船旗國之驗船機構責任與整體授權範圍。

PART 1

第一部分

GENERAL

一般要求

1. PURPOSE 目的

The Code serves as the international standard and consolidated instrument containing minimum criteria against which organizations are assessed towards recognition and authorization and the guidelines for the oversight by flag States.

本章程係作為國際性之標準與綜合性之準法律文件。而標準與文件涵蓋船旗國應如何評估某一機構，進而加以認可並授權之最低標準，並對船旗國如何監督驗船機構提供準則。

2. SCOPE 適用範圍

2.1 The Code applies to:

本章程適用於下列情況：

- .1 all organizations being considered for recognition or that are recognized by a flag State to perform, on its behalf, statutory certification and services under mandatory IMO instruments and national legislation; and
所有擬被認可或已獲船旗國認可之機構，該機構代表船旗國主管機關依強制性國際海事組織準法律文件與國內航政法規執行法定發證與服務。
- .2 all flag States that intend to recognize an organization to perform, on their behalf, statutory certification and services under mandatory IMO instruments.
所有擬認可某一機構代表其依國際海事組織強制性準法律文件執行法定發證與服務的船旗國。

2.2 The Code established:

本章程已建立下列事項：

- .1 the mandatory requirements that an organization shall fulfil to be recognized by a flag State (part 1);
擬獲得船旗國認可之某一機構所須履行之強制性要求(第一部分)；
- .2 the mandatory requirements that an RO shall fulfil when performing statutory certification and services on behalf of its authorizing flag States (part 2);
某一驗船機構代表某一船旗國(該船旗國認可該機構執行)執行法定發證與服務時，所須履行之強制性要求(第二部分)；
- .3 the mandatory requirements that flag States shall adhere to when authorizing an RO (part 2); and
船旗國授權某一驗船機構時，所必須遵守之強制性要求(第二部分)；以及
- .4 guidelines for flag State oversight of ROs (part 3).
船旗國如何監督驗船機構之準則(第三部分)。

2.3 The Code defines the functional, organizational and control requirements that apply to ROs conducting statutory certification and services performed under mandatory IMO instruments, such as, but not limited to, SOLAS, MARPOL and the Load Lines Conventions
本章程為界定專業性、組織性與管理性之要求，該要求適用於驗船機構，作為執行法定發證與服務時，所必須依循之國際海事組織強制性準法律文件(例如，但不侷限於，海上人命安全公約、防止船舶污染公約與載重線公約)。

2.4 All requirements of the Code are generic and applicable to all ROs, regardless of their type and size and the statutory certification and services provided.

本章程之所有要求一體適用於所有驗船機構，不因其類型或規模，或其提供之法定發證與服務之不同，而有所例外。

2.5 ROs subject to this Code need not offer all types of statutory certification and services and may have a limited scope of recognition, provided that the requirements of this Code are applied in a manner that is compatible with the limited scope of recognition. Where any requirement of this Code cannot be applied due to the scope of services delivered by an RO, this shall be clearly identified by the flag State and recorded in the RO's quality management system.

受本章程約束之驗船機構，並不一定要提供所有類型之法定發證與服務。而且，其被認可之服務範圍可以有所侷限，只要該驗船機構遵循本章程要求之方式，符合其被認可之服務範圍即可。當任何驗船機構因所提供之服務範圍有所限制，而無法適用本章程之任何要求時，此事實應被船旗國清楚地知悉，同時應被記錄在該驗船機構之品質管理制度中。

3. CONTENTS 涵蓋內容

The Code consists of three parts. Part 1 contains general provisions. Part 2 contains mandatory provisions for the flag State and RO as already contained in relevant IMO instruments and applicable international standards. Part 3 contains guidelines for the oversight of ROs by flag States.

本章程係由三部分所組成。第一部分為一般要求，第二部分為船旗國與驗船機構之強制性條款，此等條款係源自相關之國際海事組織準法律文件與可適用之國際標準，第三部分為船旗國如何監督驗船機構之準則。

4. DELEGATION OF AUTHORITY 授權

4.1 A flag State may delegate authority to an organization recognized as complying with the provisions of this Code to perform, on its behalf, statutory certification and services under

mandatory IMO instruments and its national legislation.

船旗國得授權已被認定為遵循本章程條款之某一機構，代表其依強制性國際海事組織準法律文件與其國內航政法規執行法定發證與服務。

4.2 The flag State shall not authorize functions beyond RO's capabilities. In this respect, the flag State shall take into consideration appendix 2 of this Code for authorization.

船旗國不應授權驗船機構執行超出其能力範圍之職責。關於此點，船旗國應在授權時，將本章程附件二之內容列入考量。

4.3 Flag States should cooperate with each other with the objective of ensuring that ROs to whom they delegate authority adhere to the provisions of this Code.

各船旗國應相互合作，以期確保其所授權之各驗船機構遵循本章程之條款。

5. COMMUNICATION OF INFORMATION 資料的遞送

The flag State shall communicate to, and deposit with, the Secretary-General of IMO a list of ROs for circulation to the interested parties for information of their officers, and a notification of the specific responsibilities and conditions of the authority delegated to ROs.

船旗國應將各驗船機構名單遞送並存放於國際海事組織秘書長，俾國際海事組織將資料通報給各利害關係單位，使其官員得知資訊，並告知授權給驗船機構之具體授權責任與條件。

6. REFERENCES 引用文件

The Code is based on the following referenced documents:

本章程以下列參考文件作為根基：

- .1 mandatory IMO instruments and IMO Guidelines and recommendations (i.e. Codes, guidelines and standards recommended by the Organization);
強制性之國際海事組織準法律文件及國際海事組織準則與建議書(亦即國際海事組織所建議之章程、準則與標準)；
- .2 ISO 9000:2005, Quality Management Systems – Fundamentals and vocabulary;
ISO 9000:2005 品質管理制度 – 基本原則與術語；
- .3 ISO 9001: 2008, Quality Management Systems – Requirements;
ISO 9001: 2008 品質管理制度 – 要求；
- .4 ISO/IEC 17020:1998, General criteria for the operation of various types of bodies performing inspection;
ISO/IEC 17020:1998 執行檢驗時，各種機構之一般運作標準；
- .5 ISO 19011:2002, Guidelines for quality and/or environmental management systems auditing;
ISO 19011:2002 品質與/或環境管理制度稽核準則；
- .6 International Association of Classification Societies (IACS) Quality Management System Requirements (QMSR); and
國際船級協會聯合會(IACS)品質管理制度要求(QMSR)；以及
- .7 national legislation.
國內航政法規

PART 2
第二部分
RECOGNITION AND AUTHORIZATION REQUIREMENTS FOR ORGANIZATIONS
機構之認可與授權要求

1. TERMS AND DEFINITIONS

1. 術語與定義

- 1.1 Recognized organization (RO) means an organization that has been assessed by a flag State, and found to comply with this part of the RO Code.**

驗船機構(RO)係指某一機構業已經過某一船旗國評估，而被認為符合本驗船機構章程 之第二部分。

- 1.2 Authorization means the delegation of authority to an RO to perform statutory certification and services on behalf of a flag State as detailed in an agreement or equivalent legal arrangement taking into account the "Elements to be included in an Agreement" as set out in appendix 3 of this Code.**

授權係指船旗國授予某一驗船機構權力代表其執行法定發證與服務。其細節應詳述於合約書或具同等法律效力之文件中，同時應將本章程附件三所提之「列入合約書之項目」列入考量。

- 1.3 Statutory certification and services means certificates issued, and services provided, on the authority of laws, rules and regulations set down by the Government of a sovereign State. This includes plan review, survey, and/or audit leading to the issuance of, or in support of the issuance of, a certificate by or on behalf of a flag State as evidence of compliance with requirements contained in an international convention or national legislation. This includes certificates issued by an organization recognized by the flag State in accordance with the provisions of SOLAS regulation XI-1/1, and which may incorporate demonstrated compliance with the structural, mechanical and electrical requirements of the RO under the terms of its agreement of recognition with the flag State.**

法定發證與服務係指依照某一主權獨立國家之政府所頒佈之法令以及各種航政法規，據以簽發證書並提供服務。此作為包括審圖、檢驗及/或稽核，導致代表船旗國簽發證書，或由船旗國政府親自簽發證書，或協助簽發證書，以茲證明符合某一國際公約或國內航政法規之要求。此作為包括，由經船旗國認可之機構，依照SOLAS規則XI-1/1之條款簽發證書，同時驗船機構也可能進一步證明自己符合其與船旗國所簽訂認可合約書之條款所提出之船體結構、輪機與電氣要求。

- 1.4 Assessment means any activity to determine that the assessed entity fulfils the requirements of the relevant rules and regulations.**

評估係指足以判定被評估之機構符合相關航政法規之要求的任何技術活動。

- 1.5 Interested parties means any person or legal entity who can demonstrate a justified interest in the survey and certification process and includes, inter alia, clients of the RO, ship owners, ship operators, shipbuilders, equipment manufacturers, shipping industry interests or associations, marine insurance interests or associations, trade associations, governmental regulatory bodies or other governmental services and non-governmental organizations.**

有利害關係單位係指任何能夠證明與檢驗與發證過程有合法利害關係之自然人或法人，尤其是驗船機構之客戶、船舶所有人、營運者、造船廠、船用設備製造廠家、航運公司或協會、海事保險業或協會、商會、政府之主管機關或其他政府服務單位及非政府組織。

- 1.6 Location is a place from which surveys are carried out and managed, or where plan approval is carried out, or from which processes are managed.**

辦公地點為進行並管理檢驗、或審圖、或管理其過程之某一處所。

- 1.7 Site is the place at which a surveyor is based to cover a specific contract or a series of contracts including; but not limited to, a port, shipyard, firm, and company. All statutory certification and services at sites are to be controlled by a location.**

現場是驗船師履行特定合約或一系列合約之地點，包括，但不侷限於，港口、船廠、商社與公司。所有在現場執行之法定發證與服務皆將為某一辦公地點所控管。

- 1.8 A Vertical Contract Audit (VCA) is a contract/order specific audit of production processes, including witnessing work during attendance at a survey, audit or plan approval in progress and, as applicable, including relevant sub-processes. A VCA is carried out at a location or a site (Survey Station/Approval Office/Site) to verify the correct application of relevant requirements in service realization for the specific work in that contract/order, and their interactions (relevant sub-processes include e.g. previous part surveys or UTM processes connected to the survey). Plan approval VCA may be carried out for completed tasks.

縱向合約稽核(簡稱VCA)是依合約/命令針對生產過程所執行之特定稽核，其中包括在某一正在進行檢驗、稽核或審圖參與期間之見證工作，如適用時，包括相關副流程。縱向合約稽核係在辦公地點或現場(驗船站/審圖室/現場)進行，旨在查證在提供該合約/命令所述之特定服務時，是否正確地應用相關之要求，並查證其互動情況(相關之副流程包括先前部分檢驗或與檢驗有關連之超音波測厚)。為了已完成之任務，得進行審圖之縱向合約稽核。

2. GENERAL REQUIREMENTS FOR RECOGNIZED ORGANIZATIONS

驗船機構之一般要求

2.1 General 一般要求

Delegation of authority by a flag State to an organization shall be subject to the confirmation of the capability of that organization to demonstrate that it has the capacity to deliver high standards of service and its compliance with the requirements of this Code and applicable national legislation.

船旗國在將權責授予某一驗船機構之前，應先確定該機構有能力提供高標準之服務，並會遵守本章程及適用之國內航政法規之要求。

2.2 Rules and regulations 規範及規則

The RO shall establish, publish and systematically maintain its rules or regulations, a version of which shall be provided in the English language, for the design, construction and certification of ships and their associated essential engineering systems as well as provide for adequate research capability to ensure appropriate updating of the published criteria.

驗船機構應制定、發佈並有系統地維持一套包括英文版在內之規範或規則，以供設計、建造、發證予船舶及其相關重要輪機系統時使用。另該機構亦該提供足夠研究能力，以確保及時更新發佈之標準。

2.3 Independence 自主

The RO and its staff shall not engage in any activities that may conflict with their independence of judgment and integrity in relation to their statutory certification and services. The RO and its staff responsible for carrying out the statutory certification and services shall not be the designer, manufacturer, supplier, installer, purchaser, owner, user or maintainer of the item subject to the statutory certification and services, nor the authorized representative of any of these parties. The RO shall not be substantially dependent on a single commercial enterprise for its revenue.

驗船機構及其從業人員不應從事任何可能抵觸其在執行法定發證與服務時，所須保有的判斷自主性及正直性之活動。執行法定發證與服務之驗船機構及其從業人員，不應同時具有接受發證與服務之物件的設計者、製造者、供應商、安裝者、買家、所有人、使用者或維修者身份，也不可以是以上這些單位的授權代表。驗船機構不應過份依賴某單一營利事業，取得其收入來源。

2.4 Impartiality 公正

- 2.4.1 The personnel of ROs shall be free from any pressures, which might affect their judgment in performing statutory certification and services. Procedures shall be implemented to prevent persons or organizations external to the organization from

influencing the results of services carried out.

驗船機構之從業人員不應受到任何可能影響其執行法定發證與服務時判斷力的壓力。驗船機構應制定一套程序書，以防止機構外部之個人或組織影響其所提供之服務的結果。

2.4.2 All potential customers shall have access to statutory certification and services provided by the RO without undue financial or other conditions. The procedures under which the RO operates shall be administered in a non-discriminatory manner.

所有可能顧客都應在不受限於太嚴苛財力證明或其他條件之情況下，取用該驗船機構所提供之法定發證與服務。該驗船機構應以毫無歧視的方式運作其營運管理程序。

2.5 Integrity 正直

The RO shall be governed by the principles of ethical behaviour, which shall be contained in a Code of Ethics. The Code of Ethics shall recognize the inherent responsibility associated with a delegation of authority to include assurance of adequate performance of services.

驗船機構應將合乎道德之行為準則納入其道德規範，並奉為營運圭臬。該道德規範應指出服務之充份成果保證，乃接受授權之當下，所應承受之固有責任。

2.6 Competence 適任

The RO shall perform statutory certification and services by the use of competent surveyors and auditors who are duly qualified, trained and authorized to execute all duties and activities incumbent upon their employer, within their level of work responsibility.

驗船機構應雇用適任之驗船師及稽核員，執行法定發證與服務之任務。此等從業人員，應受過充分訓練，且具有足夠能力，執行所有其上級所加諸之任務與技術活動。

2.7 Responsibility 責任

The RO shall define and document the responsibilities, authorities, qualifications and interrelation of personnel whose work affects the quality of its services.

驗船機構應將足以影響其服務品質之員工責任、權限、資格與員工間相互關係，予以界定並文件化。

2.8 Transparency 透明

2.8.1 Transparency reflects the principle of access to, or disclosure of, all information related to the statutory certification and services carried out by the RO on behalf of a flag State.

透明度反映取得或揭露所有與驗船機構代表某一船旗國執行法定發證和服務有關之資訊的原則。

2.8.2 The ROs shall communicate information to the flag State as described in the section on communication/cooperation with the flag State.

驗船機構應依照與船旗國溝通/合作之章節所述之原則，遞送資訊給船旗國。

2.8.3 Information concerning the status of ships certified by ROs shall be made available to the public.

驗船機構應將其授予船級之船隻檢驗現況公諸於世。

3. MANAGEMENT AND ORGANIZATION 管理與組織

3.1 General 一般要求

The RO shall, based on the provisions of this Code, develop and implement a quality management system and shall continually improve its effectiveness.

驗船機構應依據本章程之條款，制定並履行品質管理制度，並持續改進其有效性。

3.2 Quality, safety and pollution prevention policy 品質、安全與防止污染政策

The RO shall define and document its policy and objectives for, and commitment to, quality, safety and pollution prevention. In particular, the RO's management shall:

驗船機構對品質、安全及防止污染應界定其政策與目標並予以文件化，而且對品質、安全及防止污染作出承諾。特別是驗船機構之管理應包括下列項目：

- .1 ensure that the policy and objectives are established;
確保已建立政策與目標；
- .2 ensure the policy and objectives are appropriate for the purpose of the organization;
確保該機構之政策與目標適合該機構之宗旨；
- .3 communicate the policy and objectives; including provisions applicable to the statutory certification and services, to the organization and ensure that it is understood within the organization;
頒布政策與目標(包括適用於法定發證與服務之條款)給該機構，並確保該政策與目標在該機構內部人人皆知。
- .4 ensure sufficient availability of resources;
確保足夠資源可用；
- .5 include a commitment to comply with all applicable requirements and continually improve the effectiveness of the quality management system;
包括作出承諾，以符合所有可適用要求，並持續改進品質管理制度之有效性；
- .6 conduct management reviews; which includes a framework for reviewing quality objectives; and
執行管理審查；其中包括建立一種審查品質目標之框架；及
- .7 review the quality policy, objectives and the quality management system for continuing suitability.
審查品質政策、目標與品質管理制度之持續合適性。

3.3 Documentation requirements 文件要求

3.3.1 The quality management system shall include the following documentation:

品質管理制度應包括下列文件：

- .1 quality policy and quality objectives;
品質政策與品質目標；
- .2 quality manual (refer to section 3.4);
品質手冊(參照第3.4節)；
- .3 procedures and records required by this Code and the national legislation of the recognizing flag State;
本章程所要求之程序書與紀錄，連同認可某機構代為執行之船旗國之國內航政法規；
- .4 procedures to ensure the effective planning, operation, and control of the RO's processes;
確保驗船機構(審圖、檢驗與稽核)過程之有效計畫、運作與管制之程序書；
- .5 rules and regulations as applicable to the RO's areas of authorization;
適用於驗船機構授權領域之船級規範與規則；
- .6 list of ships for which statutory certification and services are provided;
已提供法定發證與服務之船舶清單；

- .7 Other documented process procedures that are considered necessary (these include any circulars or letters, which provide the surveyors and administrative staff with up-to-date information on classification, statutory and related matters);
認為必要之其他經文件化過程(此等過程包括通報或信函，以提供入級、法定與相關事項之最新資訊給驗船師及行政管理從業人員)；
- .8 specifications and diagrams defining or amplifying service processes; and
界定或詳述服務過程之說明與圖解；及
- .9 pro-forma reports, checklists and certificates appropriate to the activities covered by this certification.
適於本發證所涵蓋技術活動之制式報告、檢查表與證書。

3.3.2 The quality management system shall also include external documents, such as:
品質管理制度亦應包括外部文件，諸如下列文件：

- .1 national and international standards necessary for the activities governed by this instrument;
本文件所控管技術活動所需之國家及國際標準；
- .2 IMO Conventions and resolutions;
國際海事組織公約及決議案；
- .3 national shipping regulations and standards appropriate to the authorization of the RO;
適用驗船機構授權之國內航政法規與標準；
- .4 documents and data submitted to the RO for verification and/or approval; and
提交給驗船機構作查證及/或認可用之文件與資料；及
- .5 specified correspondence defined by the RO to be of an important nature.
該驗船機構所界定具有重要性之特定信函。

3.4 Quality manual 品質手冊

The RO shall establish and maintain a quality manual that includes:
驗船機構應建立並維持包括下列事項之品質手冊：

- .1 scope of the quality management system, including details of, and justification for any exclusions;
品質管理制度之範圍，包括排除事項之細節與理由；
- .2 management statement on its policy and objectives for, and commitment to, quality;
對其品質政策與品質目標之管理陳述，並對品質政策作出承諾；
- .3 description of the RO's areas of activity and competence;
說明驗船機構技術活動與適任性範圍；
- .4 general information about the organization and its head office (name, address, phone number, etc., and legal status);
該機構之一般性資訊及其總部(名稱、地址、電話等及法律現況)；
- .5 information on the RO's relationship to its parent or associated organizations (where applicable);
該驗船機構與其母機構或相關機構關係之資訊(適用時)；
- .6 charts describing the organization's structure;
該機構之組織架構圖；

- .7 management statement assigning a person designated who is responsible for the organization's quality management system;
指定某人負責該機構品質管理制度之管理階層陳述；
- .8 relevant job descriptions;
相關工作說明；
- .9 policy statement on qualification and training of personnel;
人員資格與訓練之政策陳述；
- .10 documented procedures established for the quality management system, or reference to them;
建立作為品質管理制度之文件化程序書，或者引用至該等程序書；
- .11 description of the interaction between processes of the quality management system; and
品質管理制度之過程(譯註：指審查、檢驗與稽核)間相互關係之說明；及
- .12 description of all other documents required by the quality management system.
該品質管理制度所要求之所有其他文件之說明。

3.5 Control of documents 文件之管制

- 3.5.1 Documents required by the quality management system shall be controlled. The provision of document control shall apply to any type of document, including but not limited to; electronic media and IT applications where said electronic media may affect the reliability of the service or of the recorded data.
品質管理制度所要求之文件均應予以管制。文件管制之條款應適用於所有類型之文件，包括，但不侷限於，電子媒體與資訊應用(若該電子媒體可能影響服務或經記錄資料之可靠性時)。
- 3.5.2 A documented procedure shall be established to define the controls needed to:
應建立文件化之程序書，以界定下列所需事項之管制：
 - .1 approve documents for adequacy prior to issue;
簽發文件前，先核准其適切性；
 - .2 review and update as necessary and re-approve documents;
視需要重新審查並更新文件，並再次核准文件；
 - .3 ensure that changes and the current revision status of documents are identified;
確保對文件之改變與目前修訂現況可分辨；
 - .4 ensure that relevant versions of applicable documents are available at points of use;
確保可適用文件在需供用之處，有最新版本可取得；
 - .5 ensure that documents remain legible and readily identifiable;
確保文件清晰，易於辨識；
 - .6 ensure that documents of external origin determined by the RO to be necessary for the planning and operation of the quality management system are identified and their distribution is controlled; and
確保驗船機構所決定外部來源文件，為品質管理制度之計畫與運作所需者，予以認定，並對其分發予以管控。
 - .7 prevent the unintended use of obsolete documents, and to apply suitable identification

if they are retained for any purpose.

防止意外使用過時文件，如該等文件保留作任何目的，要加上適當標記。

3.6 Control of records 紀錄管制

3.6.1 Records shall be established to provide evidence of conformity to requirements of this Code and of the effective operation of the quality management system. The records shall be controlled.

應建立紀錄，以提供符合本章程要求及品質管理制度有效運作之證據。此等紀錄應予以管制。

3.6.2 The RO shall establish a documented procedure to define the controls needed for the identification, storage, protection, retrieval, retention, and disposition of records. Records shall remain legible, readily identifiable and retrievable.

驗船機構應建立文件化程序書，以界定管制。此等管制係為了紀錄之分類、歸檔、防護、檢索、保存與處理所需者。紀錄應維持清晰，易於辨識，而且可檢索。

3.6.3 The RO shall ensure that records are maintained, demonstrating achievement of the required standards in the terms covered by the statutory certification and services performed as well as the effective operation of the quality management system. Records, other than those set out in 3.6.4.2, shall be retained at least for the period for which statutory certification and services are provided by the RO. Records specified in 3.6.4.2 for a ship shall be retained for a minimum period of three years beyond the period for which statutory certification and services are provided by the RO to that ship, or a longer period if specified in the agreement between the flag State and the RO.

驗船機構應確保紀錄予以維持，證明在所執行法定發證與服務所涵蓋條款所要求之標準，連同品質管理制度之有效運作均已達成。除第3.6.4.2款所規定之紀錄外，紀錄應予以保存，期限至少與驗船機構所提供法定發證與服務相同。第3.6.4.2款所規定之紀錄應予以保存至少超過驗船機構對該船所提供法定發證與服務之期限三年以上，抑或船旗國與驗船機構在合約書所協議之較長日期。

3.6.4 Records shall include at least those relevant to:

紀錄應包括與下列事項有關者：

.1 rules and regulations development and associated research;

船級規範與規則之制定與相關研究；

.2 the application of the rules and regulations and statutory requirements through:

藉由下列方式應用船級規範、規則與法定要求：

.1 verification and/or approval of documents and/or drawings relevant to the design;

與設計有關之文件及/或圖面查證及/或審核；

.2 approval and survey of materials and equipment;

機材之認可與檢驗；

.3 survey during construction and installation;

建造與安裝期間之檢驗；

.4 survey during service; and

服務期間之檢驗；及

.5 issuance of certificates;

證書之簽發；

.3 the list of ships; and

船舶清單；及

- .4 all other records required by this quality management system and any additional requirements established by the recognizing flag State.

本品質管理制度所要求之所有其他紀錄暨認可某機構代為執行之船旗國所建立之任何追加要求。

3.7 Planning 計劃

- 3.7.1 The RO shall ensure that quality objectives, including those needed to meet the requirements for statutory certification and services are established at relevant function and levels within the organization.

驗船機構應確保該機構內，已訂定了包括為了符合法定發證與服務要求在內之品質目標。

- 3.7.2 The quality objectives shall be measurable and consistent with the quality policy.

品質目標應為可量化者，並與品質政策一致。

- 3.7.3 The RO shall in its planning consider the elements identified below, and use the result to evaluate the effectiveness of its standards and procedures and their impact on safety of life and property and the marine environment:

驗船機構應在其計畫中，考慮下列所認定之因素，並使用結果，以評估其標準與程序之有效性，連同對人命安全、財產與海洋環境之衝擊。

- .1 that the planning of the quality management system is carried out in order to meet the requirements of the mandatory IMO Instruments, including but not limited to this Code, its quality management system and the authorizing flag State's national legislation;
進行品質管理制度之計畫，俾符合國際海事組織強制性準法律文件之要求，包括，但不侷限於，本章程、其品質管理制度及授權某機構代為執行之船旗國之國內航政法規；

- .2 that the integrity of the quality management system is maintained when changes to the quality management system are planned and implemented;
在計劃並履行品質管理制度之改變時，維持品質管理制度之完整性。

- .3 that the needs and expectations of the customers and other interested parties are taken into account, e.g. feedback from IMO, flag States and industry associations;
考慮客戶及其他利害關係單位需求及期望，例如取自國際海事組織及航運協會之回饋。

- .4 the effectiveness of services based on statistics from port State control, casualties, loss trends and feedback obtained from internal and external users;
服務之有效性係以港口國管制、海難事故、船舶滅失傾向、暨取自內部與外部使用者之回饋之統計分析為根基；

- .5 the performance of the quality management system processes based on feedback from internal audits, non-conformities and internal comments;
品質管理制度過程之成效係以內部稽核、不符合事項及內部意見為根基；

- .6 lessons learned from previous experience and deriving from an examination of survey reports, casualty investigations or external sources; and
從先前經驗及從檢視檢驗報告、海難調查報告或外部來源資料所取得者，吸取教訓；及

- .7 other sources of information which identifies opportunities for improvement.
認定為改進時機之其他資訊來源。

- 3.7.4 The RO shall identify and plan the processes required for the quality management system, and determine the sequence and interaction of these processes.

驗船機構應認定並計劃品質管理制度所需之過程，並確定此等過程之順序與相互影響。

- 3.7.5 The RO shall determine the requirements to be complied with and the criteria to ensure both the operation and control of these processes, including the criteria for

acceptance, and evaluate the resources needed.

驗船機構應確定將符合之要求與標準，以確保此等過程之運作與管制，包括接受標準與評估所需資源。

3.7.6 The RO shall plan and develop the processes required for statutory certification and services. Planning of the delivery of statutory certification and services shall be consistent with the requirements of other processes of the quality management system.
驗船機構應計劃與開發法定發證與服務所要求之過程。法定發證與服務之交付，其計畫應與品質管理制度之其他過程要求一致。

3.7.7 In planning the delivery of statutory certification and services, the RO shall determine the following as appropriate:

在計劃法定發證與服務時，驗船機構應酌情確定下列事項：

.1 quality objectives and requirements for statutory certification and services;

對法定發證與服務之品質目標和要求；

.2 the need to establish processes and documents, and to provide resources specific to the activity;

建立過程與文件之需要性，與提供資源予特定技術活動；及

.3 required verification, validation, monitoring, measurement, inspection and test activities and the criteria for acceptance; and

所要求之查證、驗證、監管、量測、檢查及測試等技術活動及接受標準；及

.4 records needed to provide evidence that statutory certification and services meet the quality management system requirements; the requirements set out in the Code and the national legislation of the recognizing flag State.

提供證明法定發證與服務符合品質管理制度要求所需之證據，該證據需予以記錄；此等要求係指規定於本章程及認可某機構代為執行之船旗國之國內航政法規所規定者。

3.7.8 The output of this planning shall be in a form suitable for the RO's structure and method of operations. The output of the planning should consider:

本計畫之輸出應為適於驗船機構架構與運作方法之格式，計畫之輸出應考慮下列各項：

.1 responsibility and authority for developing improvement plans;

制定改進計畫之責任與權力；

.2 skills and knowledge needed;

所需之技巧與知識；

.3 improvement approaches, methodology and tools;

改進途徑、方法與工具；

.4 resource requirements;

資源要求；

.5 alternative planning needs;

替代計畫之需要性；

.6 indicators for performance achievements; and

成效達成之指標；及

.7 the need for documentation and records.

文件化與紀錄之需求性。

3.8 Organization 組織

3.8.1 The relative size, structure, experience, and capability of the RO shall be commensurate with the type and degree of the statutory certification and services authorized by the flag State.

驗船機構之規模、組織、經驗及能力應與船旗國所授權之法定發證與服務之類型及程度相稱。

3.8.2 The RO shall demonstrate that it has the technical, administrative, and managerial competence and capacity to ensure the provision of quality services in a timely manner.

驗船機構應證明其有技術、行政與管理適任性及能力，以確保及時提供高品質之服務。

3.8.3 The RO shall appoint a member of its management who, irrespective of other responsibilities, shall have responsibility and authority that includes:

驗船機構應指派一位管理代表，該代表不論另擔負其他職責，應對下列項目行使權責：

.1 ensuring that processes needed for the quality management system are established, implemented, and maintained;

確保品質管理制度所需過程之建立、履行與維持；

.2 ensuring that processes required for the effective delivery of statutory certification and services are established, implemented and maintained;

確保有效交付法定發證與服務所要求過程之建立、履行與維持；

.3 reporting to top management on the performance of the quality management system; the delivery of statutory certification and services and any need for improvement; and the quality management system's effectiveness, statutory certification and services and improvement's need for reporting to the highest management level; and

.4 ensuring the promotion of awareness of all requirements throughout the RO.

確保驗船機構整體皆對所有要求之有所提昇。

3.8.4 The RO shall ensure that the responsibilities and authorities are defined and communicated within the RO.

驗船機構應確保界定責任與權力，並在該機構內部進行溝通。

3.9 Communication 溝通

3.9.1 Internal communication 內部溝通

The RO shall ensure that appropriate communication processes are established within the RO and that communication takes place regarding the effectiveness of the quality management system and statutory certification and services provided.

驗船機構應確保在該機構內部建立溝通過程，並確保品質管理制度與所提供之法定發證與服務之有效性。

3.9.2 Communication/cooperation with flag State

與船旗國之溝通/合作

3.9.2.1 The RO shall establish appropriate communication processes with the authorizing flag State that, inter alia, address the following:

驗船機構應特別針對下列事項建立，與授權某機構代為執行之船旗國建立適當溝通過程：

.1 information specified by the flag State in terms of authorization;

船旗國針對授權所提供之詳細資訊；

.2 classification of ships (assignments of class, changes and withdrawals), as applicable;

船舶入級(船級之授予、改變及撤銷) – 適用時；

- .3 causes where a ship did not in all respects remain fit to proceed to sea without danger to the ship or persons on board or presenting unreasonable threat of harm to the marine environment;
某艘船因無法使該船或船上人員，免於遭受危險或使海洋環境免於受到不合理危害之威脅，不適於開航，其背後之真正原因。
- .4 information on all overdue surveys, overdue recommendations or overdue conditions of class, operating conditions or operating restrictions issued against their classed ships that shall be made available upon request by the authorizing flag State; and
對針對其入級船舶所簽發之所有過期檢驗、過期建議事項或過期入級、營運條件或營運限制之資料，應授權某機構代為執行之船旗國之要求下，應提供給該船旗國。
- .5 other information as so specified by the authorizing flag State.
授權某機構代為執行之船旗國所要求之其他資訊。

3.9.2.2 The RO shall allow participation in the development of its rules and/or regulations by the flag State.

驗船機構應允准船旗國參與其船級規範及/或規則之制定。

3.9.2.3 The RO shall determine, propose and, if agreed by the flag State, implement effective arrangements for communicating with a flag State in relation to:

驗船機構應確定、提出並履行(如船旗國同意時)與該船旗國溝通之有效安排，該安排與下列各項有關：

- .1 enquiries, contracts or other handling, including amendments; and
查詢、合約或包括修正案在內之其他處理事項；及
- .2 flag State feedback, including conformity issues pertaining to statutory certification and services.
船旗國回饋，其中包括有關法定發證與服務之符合性議題。

3.9.3 Cooperation between ROs

驗船機構間之合作

3.9.3.1 Under the framework established by the flag State, the ROs shall cooperate and share relevant experience with other ROs with the view to standardizing processes concerning statutory certification and services for the flag State, as appropriate.

在船旗國所建立之框架下，酌情為了將船旗國與法定發證與服務有關之過程標準化，驗船機構應與其他驗船機構合作，並分享相關經驗。

3.9.3.2 Under the framework established by a flag State or a group of flag States, the organizations recognized by this State or these States shall establish and maintain appropriate technical and safety-related cooperation processes regarding statutory certification and services of ships, which may affect the validity of certificates issued by other ROs either in whole or in part on behalf of the said flag State(s). Flag States shall seek to mutually cooperate in order to ensure, as far as practicable, the compatibility of their respective frameworks.

在某一船旗國或多個船旗國所建立的架構之下，被該船旗國或此等船旗國認可之驗船機構應建立並維持一套與船舶法定發證與服務有關之適當技術與安全議題之合作過程，因為此等過程可能或多或少地影響其他驗船機構所簽發之證書的有效性。在可行範圍內，各船旗國應試圖彼此合作，以確保個別架構間之相容性。

3.9.3.3 No flag State shall mandate its ROs to apply to ships, other than those entitled to fly its flag, any requirement pertaining to their classification rules, requirements, procedures or performance of other statutory certification processes, beyond convention requirements and the mandatory instruments of the IMO.

除非是國際海事組織之公約或強制性準法律文件所規定者，要不然任何船旗國都不得命

令其驗船機構要求有權懸掛其國旗的船舶以外之船舶，遵守其各自針對法定發證過程所制定之船級規範、要求、程序或成效要求。

3.9.3.4 In cases of transfer of the certification of the ship from one RO to another, the losing organization shall, without undue delay, provide the gaining organization access to the history file of the ship including:

若某艘船的發證從某一驗船機構移轉至另一驗船機構，前任機構應毫不耽擱地允准新任機構取用有關該船之歷史檔案，其中包括下列各項：

.1 any overdue surveys;

任何過期檢驗；

.2 any overdue recommendations and overdue conditions of class;

船級任何過期建議事項與過期情況；

.3 operating conditions issued against the ship;

針對該船所簽發之營運條件；

.4 operating restrictions issued against the ship; and

針對該船所簽發之營運限制；及

.5 technical information, drawings, plans and documents taking into account the relevant guidelines developed by the Organization¹.

慮及本組織所制定之相關準則之技術資料、圖紙、圖說與文件。

3.9.3.5 New certificates for the ship can be issued by the gaining organization only after all overdue surveys have been satisfactorily completed and all overdue recommendations or overdue conditions of class previously issued in respect of the ship have been completed as specified by the losing organization.

新任驗船機構在簽發新證書之前，必須確定所有過期之檢驗皆已適當地完成，並且針對該船所簽發之所有過期建議書或過期船級條件，皆已按照前任驗船機構所要求者處理。

3.9.3.6 Within one month from the issuance of the certificates, the gaining organization shall advise the losing organization of the date of issue of the certificates and confirm the date, place and action taken to satisfy each overdue survey, overdue recommendation and overdue condition of class.

新任驗船機構在簽發證書後一個月之內，應將證書簽發日期告知前任驗船機構，並與其確認滿足各過期檢驗、過期建議書及過期船級條件所採取之行動及日期、地點。

3.9.3.7 ROs shall establish and implement appropriate common requirements concerning cases of transfer of the certification of a ship where special precautions are necessary. Those cases shall, as a minimum, include the certification of ships of 15 years of age or over and the transfer of a ship from an organization not recognized by the flag State of the ship.

驗船機構應建立並履行有關特別需要注意之某船轉級之適當通用要求。此等情況應至少包含船齡15年以上及從一家非該船船旗國承認驗船機構轉出船級之船舶。

¹ MSC-MEPC.5/Circ.2 – *Guidelines for Administrations to ensure the adequacy of transfer of class-related matters between recognized organizations (ROs).*

MSC-MEPC.5/通報 2 號「主管機關確保驗船機構間與船級有關之事務恰當轉移之準則」

3.10 Management review 管理審查

3.10.1 General 一般要求

The management of an RO shall review its quality management system; including a review of the RO's performance of statutory certification and services, at planned intervals, which shall not exceed 13 months, to ensure its continuing suitability, adequacy, and effectiveness. This review shall include assessing opportunities for improvement and the need for changes to the quality management system, including the quality policy and quality objectives.

驗船機構管理階層在所計劃之時間間隔(但不超過十三個月)，審查其管理制度，包括法定發證與服務之該機構成效之審查，以確保其持續之適合性、適當性與有效性。此審查包括評估改進之時機，暨更動品質管理制度之需要性(包括品質政策與品質目標之更動)。

3.10.2 Review input 審查輸入

The input to management review shall include the following information:

管理審查之輸入應包括以下資訊：

- .1 results of audits;
稽核結果；
- .2 feedback from interested parties;
得自有利害關係單位之回饋；
- .3 process performance and consistency of compliance with statutory requirements;
符合法定要求之過程(譯註：指審圖、檢驗與稽核過程)成效與一致。
- .4 status of preventive and corrective actions;
預防與矯正行動現況；
- .5 follow-up actions from previous management reviews;
先前管理審查之跟催行動；
- .6 changes that could affect the quality management system; and
可能影響品質管理制度之更動；及
- .7 recommendations for improvement.
改進之建議事項。

Any output of management reviews containing information relevant to quality objectives, customer complaints and activity monitoring, throughout the RO, shall be used as input to the top management review.

若管理審查之輸出包含攸關整體機構之品質目標、客訴及技術活動監管之資訊，該輸出應被列入高階管理審查之輸入。

3.10.3 Review output 審查輸出

3.10.3.1 The output from management review shall include any decisions and actions related to:

管理審查輸出應包括有關下列事項之任何決定與行動：

- .1 improvement of the effectiveness of the quality management system and its processes;
品質管理制度之有效性改進及其過程；
- .2 improvement of services related to the requirements established in the

authorization agreement; and
與授權合約書所建立要求有關之服務改進；及

.3 resource requirements.
資源要求。

3.10.3.2 Top management shall ensure that the results of the top management review of the quality management system, including the derived quality objectives, are documented and communicated throughout the organization, as appropriate.
最高管理階層應確保高階管理審查之結果(包括所衍伸出之品質目標)，以文件化處理，並適當地在該機構內廣為宣導。

3.10.3.3 Records from management reviews shall be maintained.
應維持管理審查之紀錄。

4. RESOURCES 資源

4.1 General 一般要求

4.1.1 The RO shall determine and provide the adequate resources in terms of technical, managerial and survey capabilities to accomplish the tasks being assigned and resources needed to implement the quality management system and to continually improve its effectiveness; and to enhance its performance in the delivery of statutory certification and services.
驗船機構就技術、管理與檢驗能力而言，應決定並提供足夠之資源，以執行被指派之任務；對履行品質管理制度、持續改進其有效性暨在交付法定發證與服務方面加強其成效所需之資源，亦應予以決定，並提供。

4.1.2 The RO shall be able to document extensive experience in assessing the design, construction and equipment of ships and the capability to effectively perform statutory certification and services on behalf of a flag State.
驗船機構應能對評估船舶設計、船體構造與設備之廣博經驗，暨代表船旗國有效執行法定發證與服務能力，建立文檔。

4.1.3 The RO shall have the capacity to:
驗船機構應有能力做到下列事情：

.1 provide for the publication and systematic maintenance of rules and/or regulations for the design, construction and certification of ships and their associated essential engineering systems as well as the provision of an adequate research capability to ensure appropriate updating of the published criteria. The RO is required to maintain an up-to-date version of this publication in the English language; and
提供與船舶設計、船體構造及發證有關連同其相關重要輪機系統有關之出版物及系統化維護之船級規範及/或規則。同時提供足夠研究能力，以確保適當更新已出版標準。要求驗船機構維持本出版之英文最新版本；及

.2 allow participation in the development of its rules and/or regulations by representatives of the flag State and other interested parties.
允准船旗國與其他利害關係單位之代表參與船級規範及/或規則之制定。

4.2 Personnel 人員

4.2.1 The RO shall be equipped, at all times, with significant managerial, technical, support and research staff commensurate with the size of the fleet in its class, its composition and the organization's involvement in the construction, repair and conversion of ships. The RO shall be capable of assigning to every place of work, when and as needed, the means and staff commensurate with the tasks to be carried out in accordance with the requirements of this Code and those of the flag State.

驗船機構應隨時雇用重要管理、技術、支援與研究從業人員，與其船級、其佈局及該機構所涉及船舶建造、修理與改裝之船隊規模相稱。驗船機構應能在任何時候與需要時，分配措施給與從業人員至每一工作場所，並與依據本章程及船旗國要求執行任務相稱。

4.2.2 The management of an RO shall have the competence, capability and capacity to organize, manage and control the performance of statutory certification and services in order to verify compliance with requirements relevant to the tasks delegated and shall, inter alia:

驗船機構之管理應具有適任、能力與專業，俾得以組織、管理並管控法定發證與服務之效力，以查證與被委任任務相關要求相符，而且應特別加強下列事項：

- .1 possess an adequate number of competent supervisory, technical appraisal and survey personnel;**
擁有足夠之適任監督人員、技術審圖人員與檢驗人員；
- .2 develop and maintain appropriate procedures and instructions;**
制定並維持適當程序書與工作指導書；
- .3 maintain up-to-date documentation on interpretation of the relevant instruments;**
維持最新版本文件，以解釋相關法律文件；
- .4 give technical and administrative support to field staff; and**
提供技術與行政管理支援給現場從業人員；及
- .5 review survey reports and plan approval letters for accuracy, compliance with requirements and to provide experience feedback for continual improvement.**
審查檢驗報告及圖面審核文件，以確定正確性與符合要求，並提供經驗回饋，俾持續改進。

4.2.3 The RO shall be established with a qualified staff to provide the required service representing an adequate geographical coverage and local representation as required.
驗船機構應雇用合格之從業人員，使其服務範圍得以涵蓋足夠之全球地理區域，並應視需要在各地區設置代表處。

4.2.4 The RO shall perform statutory certification and services by the use of only exclusive surveyors and auditors, being persons solely employed by the RO, duly qualified, trained and authorized to execute all duties and activities incumbent upon their employer, within their level of work responsibility. While still remaining responsible for the certification on behalf of the flag State, the RO may subcontract radio surveys to non-exclusive surveyors in accordance with section 5.9 of part 2 of this Code.
驗船機構應僅能雇用專任驗船師與稽核員，執行法定發證與服務；該等人員僅能唯一被該機構雇用，妥以訓練且有資格，以被授權執行所有其雇用人所委任並在其職責範圍之內的任務與技術活動。在仍然維持代表船旗國發證責任下，驗船機構得分包無線電檢驗給依據本章程第二部分第5.9節之非專任驗船師。

4.2.5 The RO's personnel performing and responsible for statutory certification and services shall have, as a minimum, the following formal education:

驗船機構執行與負責法定發證及服務之人員應至少具有下列正式教育背景：

- .1 qualifications from a tertiary institution within a relevant field of engineering or physical science (minimum two-year programme); or**
專科以上理工相關科系之資格(至少二年學程)；或
- .2 qualifications from a marine or nautical institution and relevant seagoing experience as a certificated ship officer, and**
海事院校資格及相關經認證為船上甲級船員之海勤經歷，及

.3 proficiency in the English language commensurate with the scope of statutory certification and services.

具有與法定發證和服務相稱之英文精進度。

4.2.6 Other personnel assisting in the performance of statutory work shall have education, training and supervision commensurate with the tasks they are authorized to perform.
其他協助執行法定工作之人員應具有之教育訓練監督，與授權其執行之任務相稱。

4.2.7 The RO shall have a documented system to track the qualifications of personnel; including continuous updating of their knowledge as appropriate to the tasks they are authorized to undertake. This system shall comprise appropriate training courses, including, inter alia, international instruments and appropriate procedures related to the delivery of statutory certification and services, as well as practical tutored training; it shall provide documented evidence of satisfactory completion of the training. As a minimum, the provisions in appendices 1 and 2 shall be met.

驗船機構應具有文件化制度，以追蹤人員資格，包括持續更新其知識，使之適於被授權擔任之任務。本制度應涵蓋適當訓練課程，特別包括與法定發證和服務有關之國際法律文件及適當之程序書，連同實務師徒制訓練。應提供文件化之證據，以資證明訓練完成且合格，至少應符合附件一與二之條款。

4.3 Infrastructure 辦公設施

4.3.1 The RO shall determine, provide, and maintain the infrastructure required to perform statutory certification and services in accordance with the requirements of the mandatory IMO instruments. Infrastructure includes, as applicable:

驗船機構應提供決定並維持所要求之辦公設施，以依強制性IMO準法律文件，執行法定發證與服務。辦公設施包括下列各項(如適用時)：

.1 building, workspaces and associated utilities;

辦公建築物、工作空間與相關設施；

.2 process equipment (both hardware and software); and

審圖、稽核與檢驗過程設備(硬體與軟體)；及

.3 supporting services, including but not limited to transport, communication, training and information systems.

支援服務，包括，但不侷限於，交通、通信、訓練與資訊系統。

4.3.2 Systems (hardware and software) provided to the surveyor shall be identified and relevant training on their use shall be carried out and documented. Special consideration should be given to the situation where a surveyor is working out of a home-based office.

提供給驗船師之硬體與軟體系統，應有身份證明，而且必須安排其使用之相關訓練、並予以文件化，特別注意驗船師非在本國辦公室工作的情況。

4.4 Work environment 工作環境

4.4.1 The RO shall be satisfied that the work environment is safe and effective to perform statutory certification and services. While it is understood that such environmental conditions are not provided by the RO, the environmental conditions under which the survey will be permitted to take place shall be made clear to the customer prior to survey commencing.

驗船機構應對工作環境之安全與有效感到滿意，以執行法定發證與服務。眾所皆知，此種環境狀況並非驗船機構所能掌控；接受檢驗之環境狀況，在檢驗開始之前，應清楚告知客戶。

4.4.2 The RO shall determine the necessary working procedures required to perform statutory certification and services safely and effectively. Training of staff on personal safety shall

be carried out and documented.

驗船機構應決定安全與有效執行法定發證與服務所需之必要工作程序，應進行個人安全之從業人員訓練，並予以文件化。

4.4.3 Requirements for personal protective equipment to be used while performing statutory certification and services and procedures for personal safety of surveyors at work shall be established and documented.

在執行法定發證與服務，使用個人防護設備之要求及驗船師在工作中之個人安全程序，應予以建立，並予以文件化。

5. STATUTORY CERTIFICATION AND SERVICES PROCESSES

法定發證與服務過程

5.1 General 一般要求

It should be recognized that statutory certification and services are service delivery development processes for flag State and RO compliance verification activities rather than the design process for a ship or its equipment.

應認識到法定發證與服務，為對船旗國作服務提供之開發過程與驗船機構符合查證之技術活動，而非船舶或其設備之設計過程。

5.2 Design and development 設計與開發

5.2.1 The RO shall plan and control the design and development of statutory certification and services processes. During the design and development planning, the organization shall determine:

驗船機構應計劃並管制法定發證與服務過程之設計與開發。在設計與開發計畫期間，該機構應決定下列事項：

.1 the design and development stages;

設計與開發階段；

.2 the review, verification and validation that are appropriate to each service design and development stage; and

適於每一設計與開發階段之審查、查證與驗證；及

.3 the responsibilities and authorities for design and development.

設計與開發之責任部門和當局。

5.2.2 The RO shall allow participation in the development and review of its rules, procedures and/or regulations, specifically in the review process prior to finalization, by representatives of the flag State and interested parties.

驗船機構應允准船旗國和有利害關係單位之代表參與其船級規範、程序書及/或規則之開發與審查活動。

5.2.3 The RO shall include in its rules and/or procedures:

驗船機構應將下列要求列入其船級規範及/或程序書中：

.1 requirements specified and communicated to ROs by the flag State, specifically for statutory certification and services².

船旗國對驗船機構所規定及所交付之要求，尤其是法定發證與服務。

² Refer to the Code for the implementation of mandatory IMO instruments, 2011, adopted by resolution A.1070(28), as may be amended.

參照 A.1070(28)及其可能之修正案所採納之「國際海事組織準法律文件履行章程」

- .2 requirements not stated by the flag State but necessary for specified or intended use, as determined by the RO.

非船旗國所提出之要求，但為指定或準備使用所必要者，其要求由驗船機構決定之。

5.2.4 Implementation of requirements may be in the form of adoption into the RO's internal requirements or by use of the original documents from IMO or the flag State.

各種要求之履行得以驗船機構內規或使用國際海事組織或船旗國之原來文件予以採用之方式為之。

5.2.5 The RO shall not issue statutory certificates to a ship, irrespective of its flag, which has been declassified or is changing class for safety reasons, before giving the opportunity to the competent Administration of the flag State to give its opinion within a reasonable time as to whether a full inspection is necessary.

驗船機構應給船旗國主管機關機會，在一合理時間內提供其意見，是否必需作全面性檢查之前，不管船舶之國籍如何，該船已降級或因安全理由已轉換船級，不應簽發法定證書給該船。

5.3 Design and development inputs 設計與開發輸入

5.3.1 Inputs relating to service requirements shall be determined and records maintained.

與服務要求有關之輸入應予以決定，其紀錄應予以維持。

These inputs shall include:

此等輸入包括下列各項：

- . 1 applicable statutory and regulatory requirements;
可適用法定與規章要求；
- . 2 where applicable, information derived from previous similar designs;
從先前類似設計取得之資訊(適用時)；
- . 3 other requirements essential for design and development, such as functional and performance requirements; and
對設計與開發非常重要之其他要求，諸如：專業與成效要求；及
- . 4 in-service experience with ships and mobile offshore drilling units obtained from within the RO itself and external sources.
從驗船機構本身內部及外部資源所取得船舶及近海移動式鑽油平台之營運經驗。

5.3.2 The inputs shall be reviewed for adequacy. Requirements shall be complete, unambiguous and not in conflict with each other.

此等輸入應予以審查是否足夠。要求應為完整、明確，而相互間不互相矛盾。

5.4 Design and development outputs 設計與開發輸出

At suitable stages, systematic reviews of design and development of rules and standards shall be performed in accordance with planned arrangements to evaluate the ability of the results to meet requirements; and to identify any problems and propose necessary actions.

在適當之階段，應依據經計劃之安排，以系統化的方式，審查船舶規範與標準之設計與開發，以資評估結果是否能夠符合要求，並且指出問題所在，另提出所需採取之行動。

5.5 Design and development verification 設計與開發查證

Verification shall be performed in accordance with planned arrangements to ensure that the design and development outputs have met the design and development input requirements. Records of the results of the verification and any necessary actions shall be maintained.

查證應依經計劃之安排予以進行，以確保設計與開發輸出已符合設計與開發輸入之要求。查證結

果之紀錄與任何必要之行動應予以維持。

5.6 Control of design and development changes 設計與開發更動之管制

Design and development changes shall be identified and records maintained. The changes shall be reviewed, verified and validated, as appropriate, and approved before implementation. The review of the design and development changes shall include evaluation of the effect of the changes on the constituent parts and product already delivered. Records of the results of the review of changes and any necessary actions shall be maintained.

設計與開發更動應予以認定，而且維持紀錄。此等更動應酌情予以審查、查證並驗證，而且在履行前應予以認可。設計與開發更動之審查，應包括對成份部分與已交貨產品影響之評估。應維持更動審查結果與任何必要行動之紀錄。

5.7 Control of production and service provisions 產品與服務供應之管控

5.7.1 The RO shall ensure that all statutory certification and services are carried out under controlled conditions.

驗船機構應確保所有法定發證與服務均在管控條件下進行。

5.7.2 Controlled conditions shall include, as applicable:

管制條件應包括下列條件(取適用者)：

.1 the availability of information that describes the status and condition of ships surveyed a certified;

可取用記錄船舶檢驗與發證現況之資料；

.2 the availability of rules, regulations, work instructions, and other applicable standards, as necessary;

可取用船級規範、規則、工作指導書及其他必要之可適用標準；

.3 the use of suitable equipment;

使用適當設備；

.4 the availability and use of monitoring and measuring equipment;

可取用與使用監測與量測設備；

.5 the implementation of monitoring and measurement;

履行監管與衡量；

.6 the implementation of controls to ensure the accuracy of survey reports and certificates both before and after issuance; and

履行管控，以確保簽發前及簽發後檢驗報告與證書之準確性；及

.7 a safe work environment.

安全工作環境。

5.7.3 An RO shall conduct the statutory certification and services of the ship in conformity with all relevant international requirements and the requirements of this Code. When accepting a ship on behalf of the flag State that was constructed originally without a known flag State the RO shall verify that the ship complies with national requirements of that flag State prior to certification.

驗船機構應執行符合所有相關國際要求與本章程要求之船舶法定發證與服務。當驗船機構代表船旗國接受某一艘原建造時並不知船旗國之船舶當下，該驗船機構在發證前，應查證該船是否符合該船旗國之國內法規要求。

5.8 Property of clients 客戶財產

The RO shall identify, verify, protect and safeguard property provided by the clients for performance of statutory certification and services. If property is lost, damaged or otherwise found to be unsuitable for use, the RO shall report this to the property owner and maintain relevant records.

驗船機構應認定、查證、保護並維護客戶為了法定發證與服務之實現所提供之財產。如果財產丟失、受損或要不然發現不適合使用，該驗船機構應報告此事實給財產所有人，並維持相關紀錄。

5.9 Subcontracting and service suppliers 分包商與服務供應商

5.9.1 Where an RO chooses to outsource any service that affects conformity to requirements or accepts work of a third party approved by the RO, the RO shall ensure that it fully controls the performance of such services. The flag State may increase the scope of control to be applied to these outsourced services. The process for outsourcing shall be defined within the RO's quality management system. For the purpose of accountability to the flag State, the work performed by the sub-contracted organization or service supplier constitutes the work of the RO and shall be subject to the requirements incumbent upon the RO under this Code.

當某一驗船機構選擇將服務外包，而該服務將影響對法規要求之符合性，或接受該驗船機構認可之第三方工作，該驗船機構應確保完全掌控此等服務之成效。船旗國得增加適用於此等外包服務之管控範圍。外包在該驗船機構品質管理制度中界定之。為了對船旗國負責，分包商或服務供應商所進行之工作，被認定為該驗船機構所執行之工作，因此應受制於本章程加諸驗船機構之要求。

5.9.2 Firms providing services on behalf of the owner of a ship or a mobile offshore drilling unit, the results of which are used by the RO in making decisions affecting the statutory certification and services shall be subject to approval and control by either the flag State or the RO in accordance with the procedures under their respective quality management system or the flag State requirements.

代表某船或某移動式近海鑽油平台提供服務之公司，而該服務之結果由驗船機構予以使用，作出決定，影響到法定發證與服務者，應接受依據按其各自品質管理制度或船旗國要求之程序，予以認可並管制。

5.10 Control of monitoring and measuring devices 監測及量測裝置之管制

5.10.1 The RO shall determine the monitoring and measurement to be undertaken and the monitoring and measurement equipment needed to provide evidence of conformity to the applicable requirements.

驗船機構應決定將承接之監測與量測，以及所需之監測與量測設備，俾提供是否符合可適用要求之證據。

5.10.2 The RO shall establish processes to ensure that monitoring and measurement can be carried out in a manner that is consistent with the monitoring and measurement requirements.

驗船機構應建立過程，確保監測及量測能以與監測及量測要求一致方式進行。

5.10.3 Where necessary to ensure valid results, measuring equipment shall:

為了確保有效之結果，必要時，量測設備應以下列方式為之：

.1 be calibrated or verified, or both, at specified intervals, or prior to use, against measurement standards traceable to international or national measurement standards; where no such standards exist, the basis used for calibration or verification shall be recorded;

在規定之時間間隔或使用前，予以矯正或查證，或兩者均為之，與追溯至國際級或國家級量測標準之量測標準作比對。如果沒有此種標準時，作為校正或查證之基礎應予以記錄。

.2 be adjusted or re-adjusted as necessary;

必要時予以調整或再調整；

.3 have identification in order to determine its calibration status;

要有身份證明，以資決定其校正現況；

.4 be safeguarded from adjustments that would invalidate the measurement result; and
予以防護以防止使量測結果無效之調整；及

.5 be protected from damage and deterioration during handling, maintenance, and storage.

操作、維修與貯放期間予以保護，防止受損與變壞。

5.10.4 The RO shall assess and record the validity of previous measuring results when the equipment is found not to conform to requirements. The RO shall take appropriate action on the equipment affected. Records of results of calibration and verification shall be maintained.

當發現設備不符合要求時，驗船機構應評估並記錄先前量測結果之有效性。該驗船機構應對受影響之設備採取適當之行動。應維持校正與查證結果之紀錄。

5.10.5 When used in monitoring and measurement of specific requirements, the ability of computer software to satisfy the intended application shall be confirmed. This shall be undertaken prior to initial use and reconfirmed as necessary.

當使用於特定要求之監測與量測，應確認電腦軟體能力是否能符合所擬定使用之程度。此事在初始使用就應予以處理，而且必要時，再確認之。

5.10.6 Where an RO is verifying testing at manufacturers, builders, repairers or owners premises and reporting the same, the RO shall ensure that the measuring devices used in the process are identified and that evidence of calibration is obtained. Where an RO is witnessing testing of service equipment installed or available on board a ship, a means shall be established so that the RO is satisfied as to the appropriate accuracy of the measuring equipment.

當驗船機構正在廠家、造船廠、修船廠或船舶所有人廠房作測試，應報告相同數據，該機構應確保在過程中所使用之量測裝置為有身份者，而且取得校正證據。當驗船機構正在見證裝在船上或船上已有之服務設備之測試時，應建立一種措施，俾該機構對量測設備之適當精準度認為滿意。

5.11 Complaints 客訴

The RO shall have a documented process to address complaints related to statutory certification and services.

驗船機構應備有文件化之過程，以處理與法定發證和服務有關之客訴事宜。

5.12 Appeals 申訴

The RO shall have a documented process to address appeals related to statutory certification and services in accordance with the requirements of the flag State.

驗船機構應備有文件化之過程，以依據船旗國要求，處理與法定發證和服務有關之申訴事宜。

6. PERFORMANCE MEASUREMENT, ANALYSIS AND IMPROVEMENT

成效衡量、分析與改進

6.1 General 一般要求

6.1.1 The RO shall plan and implement the monitoring, measurement, analysis and improvement processes needed to demonstrate conformity to statutory certification and

services requirements, to ensure conformity of the quality management system, and to continually improve the effectiveness of the quality management system. This shall include the determination of applicable methods, including statistical techniques, and the extent of their use. The measurements employed by the RO shall be reviewed periodically, and data shall be verified on a continual basis for accuracy and completeness.

驗船機構應計劃並履行監管、衡量、分析與改進過程，各過程為證明符合法定發證與服務所需者，以確保與品質管理制度相符合，而且持續改進品質管理制度之有效性。此方面應包括適用方法之決定(包括統計分析技巧)以及其使用程度。驗船機構所採用之衡量應定期予以審查，而資料也應予以持續查證，以確保其正確性與完整性。

6.1.2 The RO shall develop key performance indicators with respect to the performance of statutory certification and services.

驗船機構應制定與法定發證和服務有關之主要成效指標。

6.2 Internal audit 內部稽核

6.2.1 The RO shall implement an audit programme; including the completion of internal audits at planned intervals to determine whether the authorized activity conforms to the planned arrangements and that the quality management system is effectively implemented and maintained, and that a supervisory system is in place, which monitors statutory certification and services.

驗船機構應履行稽核規畫，包括在經計劃之時間間隔完成內部稽核，以確定經授權之技術活動與經計劃之安排一致，而且有效地履行與維持品質管理制度。另外監管法定發證與服務之監督制度也到位。

6.2.2 The audit programme shall take into consideration the status and importance of the processes and areas to be audited, as well as the results of previous audits, flag State feedback, complaints and appeals including port State and flag State inspections. When planning the internal audits, consideration shall be given to complaints received in the past (either related to the location or in general) and to the results of previous internal audits and to the operation of the locations.

該稽核制度應考慮將被稽核過程與部門之現況與重要性，連同先前稽核結果、船旗國回饋、客訴與申訴(包括港口國與船旗國之檢查)都要列入考量。當計劃內部稽核時，列入考量應為過去所接受到之客訴(有關辦公地點或一般要求)、前次內部稽核結果及辦公地點之運作。

6.2.3 The RO shall define the audit criteria, scope, frequency, and methods. Auditors shall be suitably qualified and selected in order to ensure objectivity and impartiality of the audit process. Auditors shall not audit their own work. The audit scope shall cover the processes for the statutory certification and services at various locations with a focus on verification of the efficient and effective implementation of the quality management system and applicable work processes at the individual location. The audit periods, which may be established according to the findings, shall ensure that each location is audited at least once per three years. Audits at locations shall also include visits to selected sites, which operate under the control of the location.

驗船機構應界定稽核標準、範圍、頻率及方法。稽核員應備有適當資格，並適當予以遴選，以確保稽核過程之客觀性與公正性。稽核員不應稽核其自身工作。稽核範圍應涵蓋在各種不同辦公地點所為之法定發證與服務之過程，著重於查證在個別辦公地點有效率與有效果地履行品質管理制度與可適用之工作過程。稽核期限得按稽核所發現者建立之，但應確保每一受稽核辦公地點至少每三年稽核一次。在辦公地點之稽核亦應造訪被選定之現場，該現場為按該辦公地點運作。

6.2.4 A documented procedure shall be established to define the responsibilities and requirements for planning and conducting audits, establishing records and reporting results. Records of audits and their results shall be maintained.

應建立文件化之程序書，以界定計劃與執行稽核之責任與要求，並建立紀錄及報告服務結

果。應維持稽核紀錄與其結果。

6.2.5 The management responsible for the area being audited shall ensure that any necessary corrections and corrective actions are taken without undue delay to eliminate detected nonconformities, observations (potential non-conformities) and their root causes.

負責正受稽核部門之管理階層應確保採取任何必要矯正與矯正行動，絕對不耽擱，以消弭被發現之不符合事項、觀察事項(潛在不符合事項)及其根本原因。

6.3 Vertical Contract Audit 縱向合約稽核

6.3.1 The RO shall carry out Vertical Contract Audits annually for each of the following processes:

驗船機構應每年對每一下列過程作縱向合約(一條龍)稽核：

.1 plan approval;
圖面審核；

.2 new construction survey;
新造船檢驗；

.3 in-service periodical survey/audit; and
營運中定期檢驗/稽核；及

.4 type approval (where applicable) or survey of other materials and equipment.
其他機材之型式認可(適用時)或檢驗。

6.3.2 Evidence of completion of VCAs and findings thereof, shall be formally recorded.
完成縱向合約稽核之證據及其發現事項應正式予以記錄。

6.4 Monitoring and measurement of processes 過程之監管與衡量

6.4.1 The RO shall apply suitable methods for monitoring, including a supervisory system that monitors the work activities carried out, and where applicable, measurement of the quality management system processes. These methods shall demonstrate the ability of the processes to achieve sustained compliance with the requirements of this Code and the agreement with the flag State, in particular that:

驗船機構應使用適當之監管方法，包括已進行監管工作活動之監督制度，而且適用時，包括衡量品質管理制度過程。此等方法應證明達成持續符合本章程及與船旗國所作合約書之要求，其過程之能力，尤其包括下列事項：

.1 the RO's rules and/or regulations are complied with; and
符合驗船機構規範及/或規章；及

.2 the requirements of the statutory certification and services are satisfied.
符合法定發證與服務之要求。

6.4.2 When planned results are not achieved, correction and corrective action shall be taken, as appropriate.

當計畫之結果未能達成，應酌情採取改正與矯正行動。

6.4.3 The implemented methods should consider issues such as, but not limited to:

已履行之方法應考慮，但不侷限於，下列課題：

. 1 port State control detentions;
港口國管制之船舶留置；

. 2 casualties; and

海難事故；及

. 3 rework of plan approval letters and survey reports.

審圖信函與檢驗報告之重作。

6.5 Control, monitoring and measurement of non-conformities, including statutory deficiencies
不符合事項(包括法定缺失事項)之管制、監管與衡量。

6.5.1 The RO shall monitor and measure the service delivery with statutory requirements and the RO's rules to verify that all requirements have been met. This shall be carried out at appropriate stages of the statutory certification and services process in accordance with the planned arrangements. Evidence of conformity with the statutory requirements and RO rules shall be maintained. Records shall indicate the person(s) approving or verifying compliance with the statutory requirements and the RO's rules.

驗船機構應依據法定要求與驗船機構船級規範監管和衡量所交付服務，俾查證已符合所有要求。此情況應依據計畫之安排，在法定發證與服務過程之適當階段予以進行。符合法定要求與驗船機構規範之證據應予以維持。紀錄應顯示認可查證符合法定要求與驗船機構船級規範之人員。

6.5.2 The RO shall make provisions to ensure that non-conformities are identified and controlled. The controls and related responsibilities and authorities for dealing with non-conformities shall be defined in a documented procedure.

驗船機構應作出規定，以確保不符合事項得以被認定與管制。管制及處理不符合事項之相關責任部門與當局應界定於文件化程序書。

6.5.3 Where applicable, the RO shall deal with a non-conformity by one or more of the following ways:

適用時，驗船機構應以下列一種以上方法處理某一不符合事項：

.1 by taking action to eliminate the detected non-conformity;

採取行動以消弭被發現之不符合事項；

.2 by authorizing its use, release or acceptance under the terms determined by the flag State;

按船旗國所決定之條款，授權其使用、發布或接受；

.3 when accepting with or without correction by exemption or equivalence, consideration should be given to the non-conformities with rules and regulations or statutory requirements during:

當藉豁免或同等措施使用改正或未改正接受時，應在下列期間內，考慮與船級規範及規則或法定要求之不符合事項：

.1 drawing approval,

圖面審核；

.2 survey of materials and equipment,

機材檢驗；

.3 survey during construction and installation,

建造及安裝期間之檢驗；

.4 survey during service;

營運期間之檢驗；

.4 by taking action to preclude its original intended use or application; and

採取行動以排除其原來打算用途或應用；及

.5 by taking action appropriate to the effects, or potential effects, of the non-conformity

when a non-conformity is detected.

當發現某一不符合事項，採取適於該不符合事項之效果或潛在效果之行動。

6.5.4 When a non-conformity is corrected, it shall be subject to reverification to demonstrate conformity to the requirements.

當某一不符合事項已被矯正，其應被接受再查證，以資證明與所要求者一致。

6.5.5 Records of the nature of non-conformities and any subsequent actions taken, including exemption or equivalences obtained, shall be maintained.

應維持不符合事項性質及已採取之任何嗣後行動之紀錄，包括所取得之豁免或同等措施：

6.5.6 The RO shall comply with the instructions of the flag State detailing actions to be followed in the event that a ship is found not fit to proceed to sea without danger to the ship or persons on board, or presenting unreasonable threat of harm to the marine environment.

當某船被發現，無法使該船或船上人員免於遭受危險或使海洋環境免於受到不合理危害之威脅，不適於開航時，驗船機構應遵守船旗國針對此情況所簽發之詳細指示行動。

6.5.7 The ROs shall cooperate with port State control Administrations where a ship to which the RO issued the certificates is concerned, in particular, in order to facilitate the rectification of reported deficiencies or other discrepancies.

驗船機關應與港口國主管機關合作，協助船隻矯正其被指控之缺失或其他偏差，尤其針對該驗船機構所簽發證書之船隻為然。

6.5.8 The RO responsible for issuing the relevant certificate shall, upon receiving a report of an accident or discovering a defect to a ship which affects the safety of the ship or the efficiency or completeness of its life saving appliances or other equipment, cause investigations to be initiated to determine whether a survey is necessary.

負責簽發相關證書之驗船機構，一接到意外事故報告或發現缺陷影響船舶或其救生設備或其他設備之效率或完整性，應啟動調查，以決定是否必要安排一次檢驗。

6.6 Improvement 改進

6.6.1 General 一般要求

The RO shall continually improve the effectiveness of its quality management system through the use of the quality policy, quality objectives, audit results, analysis of data, corrective and preventive actions and management review.

驗船機構應藉由品質政策、品質目標、稽核結果、數據分析、矯正與預防行動及管理審查之利用，持續改進其品質管理制度之有效性。

6.6.2 Data analysis 數據分析

6.6.2.1 The objective of data analysis is to determine the cause of problems to guide effective corrective and preventive action. The RO shall:

數據分析之目標為決定問題原因，以指引有效矯正與預防行動，驗船機構應處理下列工作：

.1 analyze data from various sources to assess performance against plans and goals and to identify areas for improvement;

分析得自各種來源之數據，以評估相對於計畫及目標之成效，並認定需要改進之處。

.2 make use of statistical methodologies for data analysis, which can help in assessing, controlling, and improving performance of processes; and

利用統計技術對數據予以分析，將可以幫助評估、管制及改進過程之成效；及

.3 analyze the product requirements, as well as analysis of relevant processes, operations and quality records.

分析產品要求，同時對相關過程、運作及品質紀錄作分析。

6.6.2.2 Information and data from all parts of the RO shall be integrated and analyzed to evaluate the overall performance of the quality management system.

從驗船機構所有部門所取得之資料與數據應予以整合並分析，以評估品質管理制度之整體成效。

6.6.2.3 The results of analysis shall be documented and used to determine:

分析之結果應予以文件化，並予以使用，以決定下列事項：

.1 trends;

趨勢；

.2 operational performance;

運作成效；

.3 customer satisfaction and/or dissatisfaction through complaints or other quality indicators (PSC detentions, flag State non-conformities, etc.);

經由客訴或其他品質指標(港口國管制船舶留置、船旗國不符合事項等)所取得之客戶滿意及/或不滿意度；

.4 effectiveness and/or efficiency of processes; and

過程之有效性及/或有效率性；及

.5 performance of suppliers.

服務供應商之成效。

6.6.3 Sources of information 資訊來源

The RO shall identify sources of information and establish processes for collection of information for planning continual improvement, corrective and preventive actions. Such information shall include, inter alia:

驗船機關應決定資訊來源，並建立為了計畫持續改進、矯正與預防行動，蒐集資訊之過程，此等資訊特別包括下列項目：

.1 customer complaints;

客訴；

.2 non-conformance reports;

不符合事項報告；

.3 outputs from management reviews;

管理審查之輸出；

.4 internal audit reports;

內部稽核報告；

.5 outputs from data analysis;

數據分析輸出；

.6 relevant records,

相關紀錄；

.7 outputs from customer feedback and satisfaction measurements;

得自客戶回饋及滿意度調查之輸出；

.8 process measurements;
過程衡量；

.9 results of self-assessment; and
自我評估結果；及

.10 in-service experience
營運中經歷

6.6.4 Corrective action 矯正行動

6.6.4.1 The RO shall without undue delay take action to eliminate the causes of non-conformities in order to prevent recurrence. Corrective actions shall be appropriate to the effects of the non-conformities encountered and address all actual or potential effects of these.
驗船機構應在毫不耽擱之下，採取行動，以消弭不符合事項之原因，俾防止再度發生。矯正行動應適於所遭受到不符合事項之影響，並足以因應所有不符合事項之實際或潛在影響。

6.6.4.2 A documented procedure shall be established to define requirements for:
應建立文件化程序書，以建立下列要求：

- .1 reviewing non-conformities (including complaints);
審查不符合事項(包括客訴)；
- .2 determining the cause of non-conformities;
確定不符合事項原因；
- .3 evaluating the need for action to ensure that non-conformities do not recur;
評估確保不符合事項不再發生，其行動之需要性；
- .4 determining and implementing action needed;
確保或履行所需行動；
- .5 records of the results of action taken; and
採取行動結果之紀錄；及
- .6 reviewing the effectiveness of the corrective action taken.
審查已採取矯正行動之有效性。

6.6.5 Preventive action 預防行動

6.6.5.1 The RO shall take action to identify and eliminate the causes of potential non-conformities in order to prevent their occurrence. Preventive actions shall be appropriate to the nature and effects of the potential problems.
驗船機構應採取行動，以認定並消弭潛在不符合事項原因，俾防止其再度發生，預防行動應適合潛在問題之特性與影響。

6.6.5.2 A documented procedure shall be established to define requirements for:
應建立文件化之程序書，以界定下列要求：

- .1 determining potential non-conformities and their causes;
確定潛在不符合事項及其原因；
- .2 evaluating the need for action to prevent occurrence of non-conformities;
評估防止不符合事項發生所採取行動之需要性；

.3 determining and implementing action needed;

確定並履行所需之行動；

.4 records of results of action taken; and

採取行動結果之紀錄；及

.5 reviewing the effectiveness of the preventive action taken.

審查已採取矯正行動之有效性。

6.6.5.3 Examples of such methodologies may include risk analyses, trend analyses, statistical process control, fault-tree analyses, failure modes and effects and criticality analyses. 此等方法之例子得包括風險分析、趨勢分析、統計過程管制、故障樹分析、故障模式與影響及危害性分析。

7. QUALITY MANAGEMENT SYSTEM CERTIFICATION 品質管理制度發證

7.1 The RO shall develop, implement and maintain an effective internal quality management system that complies with the requirements of this Code and is based on appropriate parts of internationally recognized quality standards no less effective than the ISO 9000 series. 驗船機構應制定、履行並維持一份有效之內部品質管理制度，該制度符合本章程之要求，並以國際經認可品質標準(不比ISO 9000系列為差者)適當部分作為依據。

7.2 The RO's quality management system shall be periodically assessed and certified in accordance with the applicable international quality standards by a qualified body, accredited to comply with ISO/IEC 17021:2006 standard by an accreditation body that is signatory to the International Accreditation Forum (IAF) Multinational Recognition Agreement (MRA), recognized by the flag State as having the necessary governance and competences to act independently of the ROs or their associations and having the necessary means to carry out its duties effectively and to the highest professional standards, safeguarding the independence of the persons performing them. 驗船機構品質管理制度應依據可適用國際品質標準，由有資格機構，定期予以評估，並予以發證；該有資格機構為由認證機構予以認證，以資證明符合ISO/IEC 17021:2006標準；而認證機構係為國際認證聯盟(IAF)多國相互承認協議(MRA)之簽署單位；該有資格機構由於具有必要管理與適任能力，並經船旗國認可，對驗船機構及其分支機構能獨立評估，並具有必要措施以有效方式達到高職業標準。確保此等人員執行此等工作時之獨立性。

7.3 In pursuance of continually improving RO and flag State services, IMO endeavours to closely monitor the certification and audit process of the RO and its implementation to ensure its continued relevance and validity to the maritime industry in general and to the ROs, in particular. IMO will establish the working methods and rules of procedure for such monitoring.

為了持續改進驗船機構及船旗國服務，國際海事組織鼓勵密切監管驗船機構之發證與稽核過程及其履行情況，以確保其對整體航運界與驗船機構而言，一直是適切而有效的。國際海事組織對此等監管將建立程序之工作方法與規則。

8. AUTHORIZATION OF RECOGNIZED ORGANIZATIONS 驗船機構授權

8.1 General 一般要求

Under the provisions of regulation I/6 of SOLAS 1974, article 13 of LL 66, regulation 6 of MARPOL Annex I and regulation 8 of MARPOL Annex II and article 6 of TONNAGE 69, a flag State may authorize an RO to act on its behalf in statutory certification and services and determination of tonnages only to ships entitled to fly its flag as required by these conventions. Such authorizations shall not require ROs to perform actions that impinge on the rights of another flag State.

按SOLAS 1974規則I/6、LL 66本文第13條、MARPOL附則I規則6、MARPOL附則II規則8及1969

TONNAGE第6條，船旗國得授權某一驗船機構，僅對該公約所要求之有權懸掛其國旗之船舶，代表其執行法定發證與服務連同決定噸位大小，此等授權不應要求驗船機構執行侵犯另一船旗國權利之行動。

8.2 Legal basis of the functions under authorization 授權功能之法律基礎

The flag State shall establish the legal basis under which the authorization of statutory certification and services is administered. The following items shall be considered:
船旗國應建立法律基礎，在此基礎下，使法定發證與服務之授權得到管控，並應考慮下列事項：

- .1 the formal written agreement with the RO;
與驗船機構之正式書面合約書；
- .2 acts, regulations and supplementary information;
航政法規與補充資訊；
- .3 interpretations; and
解釋條文；及
- .4 deviations and equivalent solutions.
認知差距與對應解決方法。

8.3 Specification of authorization 授權範圍

The flag State shall specify the scope of authorization granted to an RO. The following specifications shall be considered:
船旗國應記明特准給驗船機構之授權範圍，並應考慮下列範圍：

- .1 ship types and sizes;
船舶類型與大小；
- .2 conventions and other instruments, including relevant national legislation;
公約及其他法律文件，包括相關國內航政法規；
- .3 approval of drawings;
圖面審核；
- .4 approval of materials and equipment;
機材認可；
- .5 surveys, audits, inspections;
檢驗、稽核、檢查；
- .6 issuance, endorsement and/or renewal of certificates;
證書之簽發、加簽及/或換證；
- .7 corrective actions;
矯正行動；
- .8 withdrawal or cancellation of certificates; and
證書之撤銷或註銷，及
- .9 reporting requirements.
報告要求。

8.4 Resources 資源

The flag State shall ensure that an RO has adequate resources in terms of technical, managerial and research capabilities to accomplish the tasks being assigned, in accordance with the minimum standards for ROs acting on behalf of the flag State set out in part 2 of this Code.

船旗國應確保驗船機構在技術、管理與研究能力方面，備有足夠之資源，以依據本章程第二部分所規定之代表船旗國執行之驗船機構最低標準，達成所指派之任務。

8.5 Instruments 法律文件

The flag State shall provide the RO with access to all appropriate instruments of national law giving effect to the provisions of the conventions, notify the RO of any additions, deletions or revisions thereto in advance of their effective date and specify whether the flag State's standards go beyond convention requirements in any respect.

船旗國應提供驗船機構如何取用國內所有適當航政法規，以使國際公約條款更具有效力，事先通知驗船機構航政法規之增訂、廢除及修訂之生效日期，並且說明在任何方面之超過公約要求之船旗國標準。

8.6 Instructions 指示

8.6.1 The flag State shall issue specific instructions detailing the procedures to be followed in carrying out statutory certification and services, and actions to be followed in the event that a ship is found not fit to proceed to sea without danger to the ship or persons on board, or presenting unreasonable threat of harm to the marine environment.

船旗國應簽發特定指示，詳細說明執行法定發證與服務時應遵循之程序。如果發現船舶無法使該船或船上人員免於遭受危險或使海洋環境免於受到不合理危害之威脅，不適於開航時，應遵循之行動。

8.6.2 Flag States shall ensure by appropriate means that ROs cooperate with each other in accordance with the provisions of this Code.

船旗國應確保以適當措施，依據本章程之條款，使各驗船機構互相合作。

8.7 Records 紀錄

The flag State shall specify that the RO maintain records, which can provide the flag State with data to assist in interpretation of convention regulations.

船旗國應規定驗船機構維持紀錄，該紀錄能提供船旗國資料，以協助其對公約各種規則之解讀。

PART 3
第三部分
OVERSIGHT OF RECOGNIZED ORGANIZATIONS
驗船機構之監督

1. PURPOSE 目的

Part 3 of the RO Code provides guidance on flag State's oversight of ROs authorized to perform statutory certification and services on its behalf. Part 3 also provides guidance on the principles of oversight that may include ship inspection, auditing, and monitoring activities. RO章程第三部分為授權驗船機構代表船旗國執行法定發證與服務時，提供船旗國監督驗船機構之指南。第三部分亦提供監督原則之指南，該監督原則可能包括船舶檢查、稽核與監管技術活動。

2. SCOPE 範圍

Part 3 of the RO code is applicable to all flag States that have authorized ROs to perform statutory certification and services. Part 3 includes flag State oversight provisions and provides guidance, which is non-mandatory, to assist flag States in the development and implementation of an effective oversight programme of ROs.

RO章程第三部分適用於已授權驗船機構執行法定發證與服務之所有船旗國。第三部分包括船旗國監督條款，而且提供非強制性之指引，以協助船旗國制定並履行有效監督驗船機構之規畫。

3. REFERENCES 引用文件

The following documents are referenced:

引用下列參考文件：

- .1 mandatory IMO instruments;
強制性之IMO準法律文件；
- .2 ISO 9000:2005, Quality Management Systems – Fundamentals and vocabulary;
ISO 9000:2005 品質管理制度 – 基本原則與術語；
- .3 ISO 9001:2008, Quality Management Systems – Requirements;
ISO 9001: 2008 品質管理制度 – 要求；
- .4 ISO/IEC 17020:1998, General Criteria for the operation of various types of bodies performing inspection;
ISO/IEC 17020:1998 執行檢驗時，各機構之一般運作標準；
- .5 ISO 19011:2002, Guidelines for quality and/or environmental management systems auditing; and
ISO 19011:2002 品質與/或環境管理制度稽核準則；
- .6 national legislation.
國內航政法規

4. TERMS AND DEFINITIONS 術語與定義

4.1 Audit means a systematic, independent, and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled. Auditing is characterized by reliance on a number of principles. These make the audit an effective and reliable tool in support of management policies and controls, providing information on which an RO can act to improve its performance. Adherence to these principles is a prerequisite for providing audit conclusions that are relevant and sufficient and for enabling auditors working independently from one another to reach similar conclusions in similar circumstances.

稽核係指以一種系統化、獨立性與文件化之過程，取得稽核證據，並以客觀方式評估，以判定達成稽核標準之程度。稽核端賴眾多原則為其具有之特性，此等原則促使稽核具有有效與信賴之工具，支持管理政策與管制，提供驗船機構能夠行動之資訊，以改進其成效。遵守此等原則為必要條件，俾提供稽核結論，而結論內容為適切且充分的，促使稽核員互相間獨立工作，在相同情況下，達到相同之結論。

4.2 Audit criteria means a set of policies, procedures or requirements.

稽核標準係指一套政策、程序與要求。

4.3 Audit evidence means records, statements of fact, or other information, which are relevant to the audit criteria and verifiable. Audit evidence may be qualitative or quantitative.

稽核證據係指紀錄、事實陳述或與稽核標準有關且可查證之其他資訊。稽核證據得以量化或品質化。

4.4 Audit findings means results of the evaluation of the collected audit evidence against audit criteria. Audit findings can indicate conformity, observation (potential non-conformity) or non-conformity with audit criteria or opportunities for improvement.

稽核發現係指將所蒐集之稽核證據與稽核標準作比對、作評估之結果。稽核發現可能指出符合或不符合稽核標準，或有待觀察(潛在不符合)，也可能指出改進之機會。

4.5 Audit conclusion means an outcome of an audit, provided by the audit team, after consideration of the audit objectives and all audit findings.

稽核結論係指稽核小組在考量稽核目標與所有稽核發現後，所提供之某一稽核之某一結果。

4.6 Audit client means an organization or person requesting an audit.

稽核小組係指要求稽核之某一機構或某人。

4.7 Auditee is an organization recognized by a flag State that may be subject to an audit by the authorizing flag State.

被稽核機構為經某一船旗國認可之某一機構，該機構可能受授權船旗國之稽核所約束。

4.8 Auditor means a person with the competence to conduct an audit.

稽核員係指具有適任性以執行稽核之人員。

4.9 Audit team means one or more auditors conducting an audit, supported if required by technical experts.

稽核小組係指一人以上稽核員，以執行稽核，必要時，由技術專家支援。

4.10 Technical expert means a person who provides specific knowledge or expertise to the audit team.

技術專家提供特定知識或專業給稽核小組之成員。

4.11 Audit programme means a set of one or more audits planned for a specific period and directed towards a specific purpose. An audit programme includes all activities necessary for planning, organizing, and conducting the audits.

稽核規畫係指一套一種以上之稽核，該稽核係為一段具體期間所計劃者，並導向某一特定目的。一種稽核規畫包括計劃、組織與執行稽核所需之所有事務。

4.12 Audit plan means a description of the activities and arrangements for an audit.

稽核計畫係指技術活動之說明與某一稽核之安排。

4.13 Audit scope means extent and boundaries of an audit. The audit scope generally includes a description of the physical locations, organizational units, activities and processes, as well as the time period covered.

稽核範圍係指某一稽核之程度。稽核範圍通常包括實體辦公地點、組織架構下各部門、各種技術活動與過程，連同所涵蓋期間之說明。

4.14 *Competence* means demonstrated personal attributes and demonstrated ability to apply knowledge and skills.

適任性係指證明人員之特性，並證明運用知識與技術之能力。

4.15 *Oversight* means any activity by a flag State carried out to assure an RO's service complies with IMO and national requirements of the recognizing flag State.

監督係指船旗國所進行之技術活動，以確保驗船機構之服務符合國際海事組織與認可某機構代為執行之船旗國國內要求。

4.16 *Monitoring* means any activity by a flag State where a flag State witnesses services by an RO or reviews documentation used by the RO and which is carried out to assure that RO services are in compliance with IMO and national requirements. Monitoring may be considered as a component of oversight.

監管係指船旗國之技術活動，該活動為見證驗船機構之服務或審查驗船機構所使用之文件，並進行監管，以確保驗船機構之服務，符合國際海事組織與國內法規要求。監管得視為監督之一部分。

5. ESTABLISHING AN OVERSIGHT PROGRAMME 建立監督規畫

5.1 Oversight 監督

The flag State should establish or participate in an oversight programme with adequate resources for monitoring of, and communication with, its RO(s) in order to ensure that its international obligations are fully met, by:

船旗國理應建立或參與某一監督計畫，備有足夠資源，俾監管其各驗船機構，並與其相互溝通，以確保完全符合該國之國際義務，其方式如次：

.1 exercising its authority to conduct supplementary surveys to ensure that ships entitled to fly its flag in fact comply with the requirements of the applicable international instruments;

行使該國之授權，執行追加檢驗，以確保有權懸掛其國旗之船舶事實上符合可適用國際準法律文件之要求。

.2 conducting supplementary surveys as it deems necessary to ensure that ships entitled to fly its flag comply with national requirements, which supplement the international mandatory requirements; and

執行該國認為必要之追加檢驗，以確保有權懸掛其國旗之船舶符合國內法規要求，該要求為國際強制性要求之補充要求，及

.3 providing staff who have a good knowledge of the rules and regulations of the flag State and the ROs and who are available to carry out effective oversight of the ROs.

雇用具有船旗國航政法規與其驗船機構規範淵博知識之人才，而且該人才隨時可用，以進行各驗船機構之有效監督。

5.2 Flag State's supervision of duties delegated to an RO

船旗國監督指派給驗船機構之任務

The flag State's supervision of duties delegated to an RO should consider, inter alia, the following:

船旗國監督指派給驗船機構之任務，理應特別考慮下列事項：

.1 documentation of the RO's quality management system;

驗船機構品質管理制度之文件化；

.2 access to internal instructions, circulars and guidelines;

取用內部工作指導書、通報及準則；

- .3 access to the RO's documentation relevant to the flag State's fleet;
取用與船旗國船隊有關之驗船機構文件；
- .4 cooperation with the flag State's inspection and verification work; and
與船旗國檢查和查證工作互相合作；及
- .5 provision of information and statistics; such as, but not limited to, damage and casualties relevant to the flag State's fleet.
提供資訊與統計分析；諸如，但不侷限於，與船旗國船隊有關之損害與海難事故。

5.3 Verification and monitoring

查證與監管

The flag State should establish a system to ensure the adequacy of statutory certification and services provided. Such a system should, inter alia, include the following items:

船旗國理應建立一套制度，以確保法定發證與服務之適當性，該制度理應特別包括下列各項：

- .1 procedures for communication with the RO;
與驗船機構溝通之程序；
- .2 procedures for reporting to the flag State by the RO and the processing of such reports by the flag State. The following reporting requirements should be considered:
驗船機構報告至船旗國以及船旗國處理此等報告之程序，理應考量下列報告要求：
 - .1 the RO should notify the flag State immediately upon becoming aware of a situation involving a major deficiency, or serious safety-related issue, that would normally be considered sufficient to detain a ship from proceeding to sea pending correction;
一旦知悉涉及重大缺失或與安全有關之嚴重課題，該情況通常視為足以留置船舶，未獲改善之前，不得開航，驗船機構理應立即通知船旗國。
 - .2 the RO should notify the flag State(s) immediately upon becoming aware of a situation aboard ship or within a company involving a major non-conformity, as defined in the *Guidelines on the Implementation of the International Safety Management (ISM) Code* by Administrations (resolution A.1022(26), as amended);
一旦知悉船上或公司內部發生涉及A.1022(26)決議案及其修正案「主管機關履行國際安全管理章程之準則」所定義之重大不符合事項，驗船機構理應立即通知船旗國。
 - .3 the notification above should contain the name of the company or ship, the IMO number, the official number, if applicable, and a description of the major non-conformity, deficiency or issue;
上述通知應涵蓋公司名稱或船名、國際海事組織編碼、註冊號碼(如適用時)及重大不符合事項、缺失或議題之說明。
 - .4 the RO should inform the flag State, as soon as possible, of any dangerous occurrences, accidents, machinery or structural breakdowns, or failures that they are aware of on a ship; and
驗船機構一旦知悉船上發生任何危險事故、意外事故、機器或船體結構受損或故障，理應儘快通知船旗國；及
 - .5 the RO should report to the flag State in writing the names and official numbers, if applicable, of any ships removed from the RO's list of classed/certified ships for which the RO has performed statutory certification and services. The report should contain a description of the reason(s) for removal from class, and this should be made within thirty (30) days of the removal becoming effective;
若驗船機構原已進行法定發證與服務之任何船舶，從該機構船級與發證清單撤離，該驗船機構理應將該船船名及註冊號碼(如適用時)函告船旗國。該報告理應說明撤銷船級之理由，而且此報告理應在撤銷船級生效三十天內為之。

- .3 additional ship's inspections by the flag State;
船旗國之追加船舶檢查；
- .4 appropriate technical and/or safety related consultations between ROs regarding statutory certification and services, which may affect the validity of certificates issued either in whole or in part on behalf of the flag State(s);
各驗船機構之間有關法定發證與服務之適當技術及/或與安全之諮商，該諮商可能會影響到代表船旗國簽發全部或部分證書內容之有效性。
- .5 the flag State's evaluation/acceptance of the certification of the RO's quality management system by an independent body of auditors accepted by the flag State;
船旗國所接受之獨立機構稽核員對驗船機構品質管理制度予以發證之後，船旗國之評估/接受情況。
- .6 monitoring and verification of statutory certification and services, which contribute either in whole or in part to compliance with a mandatory IMO instrument. The flag State should consider the implementation of the following:
法定發證與服務之監管與查證，促使整體或一部分符合強制性國際海事組織準法律文件，船旗國理應考慮下列事項之履行：
 - .1 flag State's oversight of RO quality management systems;
驗船機構品質制度之船旗國監督；
 - .2 observation of or systematic review of reports of the quality management system audits conducted by other qualified persons or organizations external to and independent of the RO;
非該驗船機構並獨立於該驗船機構之其他具有資格人士或機構所執行之品質管理制度稽核報告之觀察事項或系統化審查；
 - .3 verification and inspection of ships that are subject to statutory certification and services; and
受法定發證與服務所約束船舶之查證與檢查；及
 - .4 complaint and feedback system and corrective action follow-up;
客訴與回饋制度及矯正行動之跟催。
- .7 a flag State accepting ships constructed without its involvement should establish that an RO conducting statutory certification and services of the ship conforms to this Code; and
某一船旗國接受船舶之建造，但該船旗國未曾涉及，該船旗國理應建立與本章程一致之驗船機構執行法定發證與服務制度；及
- .8 for ships constructed without an identified flag State, the flag State specific requirements should be verified prior to certification.
對船舶之建造未認定船旗國者，在發證前，理應查證船旗國之特定要求。

6. PRINCIPLES OF AUDITING 稽核原則

- 6.1 The flag State should be satisfied that the RO has an effective quality management system in place. The flag State may rely upon the audits carried out by an accredited certification body or equivalent organizations. Intergovernmental cooperation in establishing common auditing practices is encouraged.
船旗國對驗船機構備有一套正在使用之有效品質管理制度，應是正面的。船旗國得依賴公認認證機構或同等機構進行稽核，鼓勵政府間以合作方式建立通用稽核實務辦法。
- 6.2 A flag State auditor should advance the following principles:
船旗國稽核員理應促進下列原則：

.1 ethical conduct: the foundation of professionalism. Trust, integrity, confidentiality and discretion are essential to auditing;

道德行為：專家氣質之建立。信任、正直、保密與謹慎對稽核相當重要。

.2 fair presentation: the obligation to report truthfully and accurately. Audit findings, audit conclusions, and audit reports reflect truthfully and accurately the audit activities.

Significant obstacles encountered during the audit and unresolved diverging opinions between the audit team and the auditee are reported; and

公平呈現：報告真實性與正確性之義務。稽核發現、稽核結論及稽核報告反映稽核技術活動之真實性與正確性。稽核期間所遭遇之重大障礙及稽核小組與被稽核機構之間未解決之意見相左均應報告；及

.3 due professional care: the application of diligence and judgment in auditing. Auditors exercise care in accordance with the importance of the task they perform and the confidence placed in them by audit clients and other interested parties. Having the necessary competence is an important factor.

應有的職業關照：稽核盡職與判斷之使用。稽核員根據其進行任務之重要性，暨稽核客戶與其他利害關係單位對其之信任性行使關照。具有必要之適任性是相當重要之因素。

6.3 Further principles relate to the audit, which is by definition independent and systematic.

有關稽核之進一步原則，當然指獨立性與系統化。

.1 independence: the basis for the impartiality of the audit and objectivity of the audit conclusions. Auditors are independent of the activity being audited and are free from bias and conflict of interest. Auditors maintain an objective state of mind throughout the audit process to ensure that the audit findings and conclusions will be based only on the audit evidence;

獨立性：為稽核公平性與稽核結論客觀性之基石。稽核員為獨立於正在稽核之技術活動，免於受到利害產生偏見與干擾。稽核員在稽核過程保持客觀之心態，以確保稽核發現事項，僅依稽核證據作為根基。

.2 evidence-based approach: the rational method for reaching reliable and reproducible audit conclusions in a systematic audit process. Audit evidence is verifiable. It is based on samples of the information available, since an audit is conducted during a finite period of time and with finite resources. The appropriate use of sampling is closely related to the confidence that can be placed in the audit conclusions.

以證據為基礎之方法：在系統化稽核過程，為了達到可信賴與可重現稽核結論之理性方法。稽核證據為可查證。由於稽核係在有限時間與有限資源下進行，該證據為基於可用資訊之樣本。適當取用樣本，使之信心滿滿，因而可作成稽核結論。

6.4 The guidance given in this Code is based on the principles set out above.

本章程所作之指引，係基於上述之原則。

7. MANAGING AN OVERSIGHT PROGRAMME 管理監督規畫

7.1 General 一般要求

7.1.1 The flag States are required to verify that the organizations recognized to perform statutory certification and services on their behalf fulfil the requirements of this Code. The purpose of this verification is to ensure that the RO is performing its statutory certification and service in compliance with this Code and its agreement with the flag State.

要求船旗國查證驗船機構代表其執行法定發證與服務達成本章程之要求。本查證之目的在確保驗船機構進行其法定發證與服務符合本章程及與船旗國之合約書。

7.1.2 The flag State should develop, implement, and manage an effective oversight programme of the ROs that act on its behalf.

船旗國理應制定、執行與管理一套有效監督驗船機構之規畫，該機構為代表其執行者。

7.1.3 An oversight programme should include various monitoring activities, which may inter alia consist of audits, inspections and audit observations (potential non-conformities). The flag States' oversight programme of their ROs should be developed after carefully assessing the factors associated with the RO as well as the extent of access to the RO's records of statutory certification and services that are made available to the flag State. The programme should also consider the delivery of statutory certification and services with respect to the provisions of the Conventions and with respect to the national requirements and instructions published by the flag State. Factors should include:
監督規畫應包括各種監管技術活動，該活動可能特別由稽核、檢查與稽核觀察事項(潛在不符合事項)所組成。在小心評估與驗船機構相關之因素，連同船旗國可以取用法定發證與服務紀錄之程度，理應制定其驗船機構之船旗國監督規則。該規畫亦理應考慮與公約條款、國內航政法規要求及船旗國所發佈之指示有關之法定發證與服務如何交付。此等監管因素理應包括下列各項：

- .1 the scope and frequency of high level audits of the RO carried out by flag States and independent accredited bodies, and of internal audits carried out by the RO;
由船旗國與獨立公證機構進行驗船機構高階層稽核之範圍與頻率，暨驗船機構所進行內部稽核之範圍與頻率。
- .2 the extent to which audit findings, observations (potential non-conformities) and corrective actions are made available to the flag State;
將稽核發現事項、觀察事項(潛在不符合事項)與矯正措施提供給船旗國之程度。
- .3 the extent to which remote monitoring of the RO can be undertaken by the flag State which can manifest itself in several different ways depending on the scope of information that is electronically available to the flag State. Remote monitoring can include:
遙控監管驗船機構之程度能由船旗國主管機關予以裁定，得以數種不同方式自行列出監管項目，端賴提供給船旗國主管機關電子數據資訊範圍而定。遙控監管可包括下列各項：
 - .1 review of the contents of survey reports associated with statutory certificates issued by the RO;
審查與驗船機構所簽發之法定證書有關之驗船機構報告內容；
 - .2 review of the effectiveness of the control and rectification of deficiencies and outstanding requirements within the deadlines established by the flag State through the RO; and
審查管制之有效性，並在規定之期限(該期限經與驗船機構諮商由船旗國所建立者)內，矯正缺失及未完了要求；及
 - .3 review of the RO's country-specific instructions to determine that the flag State's national requirements are properly and completely addressed by the RO;
審查驗船機構國家具體之指示，以決定船旗國國內航政法規要求，適當且完整地由驗船機構提出處理。
 - .4 flag State inspections carried out on board ships to check the end-result of the certification process, with a specific interest in their national requirements and/or implementation of instructions issued to the RO; and
在船上進行船旗國檢查，檢查發證過程之最後結果，著重於國內航政法規要求及/或簽發給驗船機構指示之履行是否作到。
 - .5 port State control detentions and deficiencies allocated to the responsibility of the RO.
港口國管制留置與缺失中屬於驗船機構之責任。

7.1.4 An oversight programme should also include all activities necessary for planning and organizing the types and number of monitoring activities, and for providing resources to conduct them effectively and efficiently within the specified periods.

監督規畫應包括所有技術活動，該活動為計劃並組織監管技術活動所必要之類型與次數，暨提供資源使其執行在規定之期限能夠有效且有效率地完成。

7.1.5 Those assigned the responsibility for managing the oversight programme should:

被指派管理監督規畫之人應作到下列事項：

- .1 establish, implement, monitor, review and improve the oversight programme; and
建立、履行、監管、審查並改進監督規畫；及
- .2 identify the necessary resources and ensure they are available and provided, as required.
認定必要之資源，並確保該資源如所要求者，可以使用並提供之。

7.1.6 An oversight programme should also include planning, the provision of resources and the establishment of procedures to conduct monitoring activities within the programme.

監督規畫亦理應包括計畫、資源之提供及程序書之建立，俾在該規畫內執行監管技術活動。

7.2 Oversight programme objectives and extent 監督規畫目標與程度

7.2.1 Objectives of an oversight programme 監督規畫之目標

7.2.1.1 The flag State should establish objectives for an oversight programme, to direct the planning and conduct of monitoring activities.

船旗國理應建立監督規畫之目標，以指導計畫及監管技術活動之執行。

7.2.1.2 The following objectives should be considered:

理應考慮下列目標：

- .1 management priorities;
管理優先順序；
- .2 flag State intentions;
船旗國意向；
- .3 flag State system requirements;
船旗國制度要求；
- .4 statutory, regulatory and contractual requirements;
法定、規範與合約書之要求；
- .5 need for ROs to be evaluated;
驗船機構被評估之需要性；
- .6 flag State, ROs, and other requirements;
船旗國、各驗船機構及其他要求；
- .7 needs of other interested parties; and
其他有利害關係單位之需求；及
- .8 risks to the flag State.
船旗國風險性。

7.2.2 Extent of an oversight programme 監督規畫之程度

7.2.2.1 The flag State's oversight programme should reflect the size, nature and complexity of the flag State's authorization programme, as well as the following factors:

船旗國監督規畫理應反映船旗國授權規畫之規模、特性與複雜度，連同下列因素：

- .1 the scope, objective and duration of monitoring activities to be conducted;
即將執行監管計畫之範圍、目標及期限；
- .2 the frequency of monitoring activities to be conducted;
即將執行監管計畫之頻率；
- .3 the number, importance, complexity, similarity, and locations of the ROs;
驗船機構之家數、重要性、複雜性、相似度與辦公地點。
- .4 standards, statutory, regulatory, and contractual requirements and other monitoring criteria;
標準、法定、規範及合約書要求及其他監管標準；
- .5 the need for accreditation or registration/certification of ROs;
各驗船機構之公認性或註冊/發證之需要性；
- .6 conclusions of previous monitoring activities;
先前監管技術活動之結論；
- .7 the concerns of interested parties; and 七
有利害關係單位之關點；及
- .8 significant changes to an RO or its operations.
驗船機構或其運作有重大改變。

7.2.2.2 A flag State may enter into a written agreement to participate in combined monitoring/oversight activities with another flag State or States that have authorizations with the same RO provided that the level of detail regarding individual flag State requirements and individual flag State performance are addressed at a level equivalent to an oversight programme conducted by each of the individual flag State. Conversely no flag State may be compelled by another flag State or organization to accept oversight of an RO by others in lieu of conducting its own individual flag State oversight unless it so elects by written agreement or is so provided in the law of that State. A copy of all such agreements should be submitted to IMO for the information of the Member States.

某一船旗國得使用書面合約書，參與與另一船旗國(或一國以上)授權給相同之驗船機構之聯合監管/監督技術活動，其條件為：有關所提出之個別船旗國要求與個別船旗國成效之詳細水準，同等於每一個別船旗國所執行之監督計畫。相反地，沒有任何國家可以被其他船旗國或機構強迫接受其他國家之驗船機構監督，以代替船旗國自行所為者，除非有書面合約書載明要如此為之，或該國法律條文作如此規定，不在此限。所有此等合約書應提交國際海事組織，作為會員國查照之用。

7.3 Oversight programme responsibilities, resources and procedures

監管計畫責任、資源與程序

7.3.1 Oversight programme responsibilities

監管計畫之責任

7.3.1.1 The flag State is responsible for managing its oversight programme. The flag State should utilize competent individuals that have an understanding of the oversight requirements, audit principles, and the application of audit techniques. They should have management skills as well as technical and business understanding relevant to the activities to be monitored.

船旗國負責管理其監督計畫。船旗國理應利用具有熟諳監督要求、稽核原則及應用稽核技巧之適任個人。稽核員應具有管理技巧，連同熟悉與即將監管技術活動有關之技術與業務。

7.3.1.2 Those assigned the responsibility for managing the oversight programme should:
被指派管理監督規畫責任之稽核員理應進行下列事項：

- .1 establish the objectives and extent of the oversight programme;
建立監督規畫之目標與範圍；
- .2 establish the responsibilities and procedures, and ensure resources are provided;
建立責任與程序，並確保提供資源；
- .3 ensure the implementation of the oversight programme;
確保履行監督規畫；
- .4 ensure that appropriate oversight programme records are maintained; and
確保維持適當之監督規畫紀錄；及
- .5 monitor, review and improve the oversight programme.
監管、審查並改進監督規畫。

7.3.2 Oversight programme resources 監督規畫資源

When identifying resources for the oversight programme, the flag State should consider the following:

在認定監督規畫所需資源時，船旗國應考慮下列事項：

- .1 financial resources necessary to develop, implement, manage, and improve oversight activities;
制定、履行、管理及改進監督活動所需之財力資源；
- .2 auditing techniques;
稽核技術；
- .3 processes to achieve and maintain the competence of staff, and to improve oversight performance;
達到並維持稽核員適任性並改進監督成效之過程；
- .4 the availability of staff and technical experts having competence appropriate to the particular oversight programme objectives;
備有適任稽核員與技術專家，適於特別監督規畫目標；
- .5 the extent of the oversight programme; and
監督規畫之範圍；及
- .6 travelling time, accommodation and other oversight needs.
旅行時間、住宿與其他監督事務。

7.3.3 Oversight programme procedures 監督規畫程序

7.3.3.1 The flag State's oversight programme procedures should address the following:
船旗國監督規畫程序應提出下列事項：

- .1 planning and scheduling of oversight activities;
監督技術活動之計畫與時程；
- .2 assuring the competence of assigned personnel;
保證指派稽核員之適任性；
- .3 selecting appropriate personnel and assigning their roles and responsibilities;
遴選適當稽核員，並指派其角色與責任；

- .4 conducting monitoring activities;
執行監管技術活動；
- .5 conducting follow-up, if applicable;
執行跟催(如適用時)；
- .6 maintaining oversight programme records;
維持監督規畫紀錄；
- .7 monitoring the performance and effectiveness of the oversight programme; and
監管監督規畫之成效與有效性；及
- .8 reporting on the overall achievements of the oversight programme.
報告監督規畫之整體完成度。

7.3.3.2 For flag States with a limited authorization programme, the activities above may be addressed in a single procedure.
對有限制授權規畫之船旗國，上述技術活動得以單一順序提出。

7.3.4 Oversight programme implementation 監督規畫之履行

The implementation of a flag State oversight programme should include the following factors:
船旗國監督規畫之履行理應包括下列因素：

- .1 communicating the objectives of the oversight programme to relevant parties;
與相關單位溝通監督規畫之目標；
- .2 coordinating and scheduling monitoring activities relevant to the oversight programme;
與監督規畫有關之監管技術活動之協調，並訂定稽核時程；
- .3 establishing and maintaining a process for the evaluation of assigned personnel and their continual professional development;
建立並維持一種過程，評估經指派稽核員工作成效，並追蹤其持續專業精進狀況；
- .4 selecting and appointing assigned personnel;
遴選指派稽核員；
- .5 providing necessary resources to the oversight programme, specifically the corresponding monitoring activities;
提供必要之資源給監督規畫，尤其是與監管技術活動本身有關之項目；
- .6 robust execution of monitoring activities according to the oversight programme;
根據監督規畫，強力執行監管技術活動；
- .7 ensuring the control of records of the monitoring activities;
確保監管技術活動紀錄之管制；
- .8 ensuring review and approval of monitoring activity reports, and ensuring their distribution to interested parties; and
確保監管技術活動之審查與認可，並確保分發至有關單位；及
- .9 ensuring follow-up, if applicable.
確保跟催(如適用時)。

7.3.5 Oversight programme records 監督規畫紀錄

7.3.5.1 The flag State's monitoring records should be maintained to demonstrate the implementation of the oversight programme and should include the following:
理應維持船旗國技術監管紀錄，以資證明監督規畫之履行，並且理應包括下列項目：

.1 all records related to monitoring activities, such as:

與監管技術活動有關之所有紀錄，諸如：

.1 plans; 計畫

.2 reports; 報告

.3 non-conformity reports; 不符合報告

.4 corrective and preventive action reports, and

矯正與預防行動報告；及

.5 follow-up reports, if applicable;

跟催報告(如適用時)；

.2 results of oversight programme review; and

監督規畫審查；及

.3 records related to personnel covering subjects, such as:

記錄稽查員之人事資料，諸如：

.1 assigned personnel competence and performance evaluation;

評估指派稽查員之適任與表現。

.2 monitoring and/or audit team selection; and

遴選監管及/或稽查小組；及

.3 maintenance and improvement of competence.

維持與精進適任性。

7.3.5.2 Records should be retained and suitably safeguarded.

理應保存紀錄，並適當予以保護。

7.4 Oversight programme monitoring and reviewing

監督規畫監管與審查

7.4.1 The implementation of a flag State oversight programme should be monitored and, at appropriate intervals, reviewed to assess whether its objectives have been met and to identify opportunities for improvement.

理應監管船旗國監督規畫之履行，而且在適當之時間間隔評估其目標是否已符合，並認定改進之時機。

7.4.2 The flag State should develop and use performance indicators to monitor the effectiveness of its oversight programme for ROs. The following factors should be considered:

船旗國理應制定並使用成效指標，以監管其對驗船機構監督規畫之有效性。同時理應考慮下列因素：

.1 the ability of assigned personnel to implement the oversight plan;

履行監督計畫之經指派稽核員能力；

.2 conformity with the requirements of the RO Code, monitoring activities, and schedules; and

符合驗船機構章程、監管技術活動與時程之要求；及

- .3 feedback from clients, ROs and assigned personnel.
客戶、驗船機構及經指派稽核員之回饋。

7.4.3 The flag State should consider the following performance indicators when evaluating the performance of the ROs:

船旗國在評估驗船機構之成效時，理應考慮系列成效指標：

- .1 port State performance of ROs;
驗船機構港口國之成效；
- .2 results of RO's internal audits;
驗船機構內部稽核之結果；
- .3 results of quality management system audits performed by third-party organizations (ACBs);
第三者組織(公認認證機構)所進行之品質管理制度稽核之結果；
- .4 the results of previous performance monitoring; and
先前成效監管之結果；及
- .5 condition/compliance of ships that receive survey and certification from the ROs.
接受驗船機構檢驗與發證之船舶狀況/符合情況。

7.4.4 The flag State should, on a periodic basis, evaluate its overall performance with respect to the implementation of administrative processes, procedures and resources necessary to meet its obligations as required by the conventions to which it is party.

船旗國為了履行身為公約締約國所必須履行之符合公約要求的義務(譯註：指A.1077(28)決議案中所列舉者)，理應施行某些行政管理過程、程序與資源運用之措施，並理應定期評估該措施之整體施行成效。

7.4.5 Other measures to evaluate the performance of the flag States may include, inter alia, the following:

評估船旗國成效之其他措施，尤其得包含下列各項：

- .1 port State control detention rates;
港口國管制船舶留置比率；
- .2 flag State inspection results;
船旗國檢查結果；
- .3 casualty statistics;
海難事故統計；
- .4 communication and information processes;
溝通與資訊過程；
- .5 annual loss statistics (excluding constructive total losses (CTLs)); and
年度損失統計(不含推定全損(CTLs))；及
- .6 other performance indicators as may be appropriate, to determine whether staffing, resources and administrative procedures are adequate to meet their flag State obligations. Other performance measurement indicators may consist of the following:
其他成效指標(適當時)以決定航政官員、資源及行政管理程序是否足以履行身為船旗國所應盡之義務，其他成效指標得包括下列各項：
 - .1 fleet loss and accident ratios to identify trends over selected time periods;

船隊損失及意外事故比率，俾判定在選定期間內之趨勢；

- .2 the number of verified cases of detained ships in relation to the size of the fleet;
與其船隊規模有關之經查證留置船舶案件數；
- .3 the number of verified cases of incompetence or wrongdoing by individuals holding certificates or endorsements issued under its authority;
個人持有在該船旗國掌控下簽發之證書或加簽，不適任或不法行為之經查證案件數；
- .4 responses to port State deficiency reports or interventions;
回應港口國缺失報告或干涉行為；
- .5 investigations into very serious and serious casualties and lessons learned from them;
調查非常嚴重與嚴重海難及從中所吸取之教訓；
- .6 technical and other resources committed;
提交技術與其他資源；
- .7 results of inspections, surveys and controls of the ships in the fleet;
其船隊中各船舶的檢查、檢驗及管控之結果；
- .8 investigation of occupational accidents;
調查職業傷害；
- .9 the number of incidents and violations under MARPOL, as amended; and
依據防止船舶污染公約及其修正案之異常事件與違反數；及
- .10 the number of suspensions or withdrawals of certificates, endorsements and approvals
證書、加簽或認可之吊扣或吊銷數。

7.4.6 The oversight programme review should also consider:

監督規畫審查亦理應考慮下列各項：

- .1 results and trends from monitoring;
監管之結果與趨勢；
- .2 conformity with procedures;
符合程序；
- .3 evolving needs and expectations of interested parties;
形成有利害關係單位之需要性與期待；
- .4 oversight programme records;
監督規畫之紀錄；
- .5 alternative or new auditing practices or monitoring activities; and
替代方式或新的稽核實務或監管技術活動；及
- .6 consistency in performance between audit teams in similar situations.
在類似情況下不同稽核小組成效之一致性。

7.4.7 Results of oversight programme reviews can lead to corrective and preventive actions and the improvement of the oversight programme.

監督規畫審查之結果可能引致矯正與預防行動，並且改進監督規畫。

Appendix 1

附件一

REQUIREMENTS FOR TRAINING AND QUALIFICATION OF RECOGNIZED ORGANIZATION'S TECHNICAL STAFF

驗船機構技術人員訓練與資格之要求

A1.1 Definition 定義

A1.1.1 Survey staff are the personnel authorized to carry out surveys and to conclude whether or not compliance has been achieved.

驗船師係指被授權進行檢驗，並判定是否已達到符合程度之人員。

A1.1.2 Plan approval staff are the personnel authorized to carry out design assessment and to conclude whether or not compliance has been achieved.

審圖員係指被授權進行設計評估，並判定是否已達到符合程度之人員。

A1.1.3 Audit staff are the personnel authorized to carry out audits and to conclude whether compliance has been achieved.

稽核員係指被授權進行稽核，並判定是否已達到符合程度之人員。

A1.1.4 Trainee is a person receiving theoretical and practical training under the supervision of a trainer/tutor.

學員係指在講師/師傅督導下，接受理論與實務課程訓練之人員。

A1.1.5 Trainer is a designated person having experience within a relevant area or a proficient expert in a special field recognized by the RO to give theoretical training through classroom teaching, special seminars or individual training.

講師係指經驗船機構認可在相關領域具有經驗或在特別範疇具有專業精通知識之指定人員。該員藉由課堂課程、特殊模擬機或個別教導，授予以理論課程。

A1.1.6 Tutor is a qualified and designated person from among the RO's staff having appropriate experience and capability in the relevant areas of activities in which they assist, consult and supervise the practical training of a trainee until the latter is qualified.

師傅係指在驗船機構從業人員中，遴選在技術活動之相關領域中，具有適當經驗與能力之有資格人員，俾在工作中，該等人員能協助、教授並督導學員之實務訓練，直至學員具有資格為止。

A1.1.7 Technical staff are the personnel qualified to carry out technical activity as survey staff or plan approval staff or, Marine Management Systems audit staff.

技師係指經認定具有進行技術活動資格之人員，該人員為驗船師、審圖員或海事管理制度稽核員。

A1.1.8 Support staff are the personnel assisting survey and/or plan approval staff in connection with classification and statutory work.

技師助理係指協助驗船師及/或審圖員工作，而該工作與船級和法定工作有關。

A1.2 Trainee entry requirements 學員入門要求

RO personnel performing, and responsible for, statutory work shall have as a minimum the formal education requirements defined in part 2, section 4.2.5.

履行並負責法定工作之驗船機構人員應最少有第二部分第4.2.5節所定義之正式學歷要求。

A1.3 Modules 科目

A1.3.1 The RO shall define the required competence criteria for each relevant type of survey, and type of plan approval activity and audit to be performed.

驗船機構應界定所要求適任標準，各種標準係針對每一相關檢驗類型圖面審核技術活動

與稽核而為之者。

A1.3.2 The RO shall define the necessary theoretical and practical training modules required to meet the competence criteria defined for survey, plan approval and marine management systems audit staff. The training modules shall cover as a minimum:

驗船機構應界定各種必要之理論與實務課程訓練科目，此等科目若被要求符合經界定作為驗船師、審圖員及海事管理制度稽核員之適任標準，各訓練科目應最少涵蓋下列事項：

.1 learning and competence objectives;

學習與適任目標；

.2 scope of training; and

訓練範圍；及

.3 evaluation criteria and pass requirements.

評定標準與合格要求。

A1.3.3 Through studying the training modules, trainees shall acquire and develop general knowledge and understanding applicable to different types of ships and types of work according to the flag State requirements, RO's rules and regulations and international conventions and codes.

藉由訓練科目之學習，學員應學到並應用一般知識與瞭解，該知識與瞭解適用於依據船旗國要求、驗船機構規範與規則以及國際公約與章程所規定之不同類型船舶與不同類型工作。

A1.4 Theoretical training for survey and plan approval staff

驗船師與審圖員之理論課程訓練

A1.4.1 The objective of theoretical training is to ensure that familiarization with rules, technical standards or statutory regulations and any additional requirement specific to the type of survey or ships is sufficient for the areas of activity.

理論課程訓練之目標將確認對規範、技術標準或法定規章，暨對檢驗類別或船舶類型之特定追加要求，達到熟練程度，足以應付技術活動之領域。

A1.4.2 Theoretical training shall include:

A1.4.2 理論課程訓練應包括下列各項：

.1 general modules for theoretical training; and

理論課程訓練之一般科目；及

.2 special modules for theoretical training in the particular specialty.

特別專業之特別理論訓練科目。

A1.4.3 General modules for theoretical training shall include general subjects with respect to:

理論訓練課程之一般科目應包括下列方面之一般課題：

.1 activity and functions of IMO and maritime Administrations;

IMO與海事主管機關之技術活動與專業；

.2 activity and functions of classification societies;

船級協會之技術活動與專業；

.3 classification of ships and mobile offshore drilling units;

船舶與移動式近海鑽油平台之入級；

.4 types of certificates and reports issued on completion of class and statutory surveys;

完成船級與法定檢驗後所簽發之證書及報告之類別；

.5 quality management system;
品質管理制度；

.6 personal safety regulations; and
人員安全規章；及

.7 legal and ethical issues.
法律及道德課題。

A1.4.4 The programmes of theoretical training for survey and plan approval staff shall be documented in a training plan and developed according to the areas of activity (types or categories of surveys, types of ships, subjects such as hull, machinery, electrical engineering, etc.).

驗船師及審圖員之理論課程訓練規畫，應備有依據技術活動領域(檢驗之類型或類別、船舶之類型、諸如船體、輪機、電機等主題而制定之文件化訓練計畫)。

A1.4.5 In case of an existing gap in the formal educational background in some particular field of activity, theoretical training shall be extended.

在某些特別技術活動範疇，如果正規教育背景有不足之處，則應加強理論訓練課程。

A1.4.6 In case survey or plan approval staff have obtained particular qualifications through their previous work experience prior to their joining the RO, the training plan may be reduced.

如驗船師或審圖員在未加入驗船機構之前，其先前工作經驗使其已備有特別資格，該訓練計畫得減少之。

A1.4.7 Additions or reductions in the individual training plans shall be documented.

個別訓練計畫之增加或減少均應予以文件化。

A1.4.8 In case of extension of areas of activity the training plan shall be developed and documented accordingly.

如果技術活動之領域擴大，則應制定文件化之訓練計畫。

A1.4.9 Theoretical training may be received through classroom teaching, special seminars, individual training, self-study or computer-assisted training.

理論課程訓練得藉由課堂課程、特殊模擬機、個別教導、自修或電腦協助予以訓練。

A1.5 Practical training for survey and plan approval staff (see appendix 2 for specific criteria for each certificate)

驗船師及審圖員實務課程訓練(見附件二之每一種證書之特定標準)

A1.5.1 General 一般要求

Practical training shall ensure the trainee is sufficiently proficient to carry out survey or design assessment work independently.

實務課程訓練應確保學員具有足夠熟練度，能獨當一面進行檢驗工作或設計評估工作。

A1.5.2 Plan approval staff 審圖員

A1.5.2.1 Practical training shall be commensurate with the complexity of design assessment (review of technical design of ships, review of technical documentation on materials and equipment) and shall be carried out under the supervision of a tutor.

實務課程訓練應與設計評估之複雜度相稱(船舶技術設計之審查、機材之技術文件審查)，而且應在師傅督導下進行。

A1.5.2.2 Practical training carried out shall be recorded.

應記錄所進行之實務課程訓練。

A1.5.3 Survey staff 驗船師

A1.5.3.1 Practical training shall be commensurate with the complexity of the survey (types or categories of surveys, types of ships, specific subjects (hull, machinery, and electrical engineering)) and shall be carried out under the supervision of a tutor.

實務課程訓練應與檢驗(檢驗之類型或類別)、船舶類型、特定主題(船體、輪機與電機)之複雜程度相當，而且應在師傅之督導下進行。

A1.5.3.2 Selection of particular surveys depends on the specialty/qualification to be granted and shall include classification and statutory types of surveys of the following, as appropriate:

特別檢驗之選定端賴即將特准之專長/資格，而且應酌情包括下列船級檢驗類型與法定檢驗類型：

.1 new construction;

新船建造；

.2 ships and mobile offshore drilling units in operation; and

營運中船舶與移動式近海鑽油平台；及

.3 materials and equipment.

機材。

A1.5.3.3 Practical training carried out shall be recorded.

應記錄所進行之實務課程訓練。

A1.5.4 Examinations and tests for survey and plan approval staff

驗船師與審圖員之考試與測試

A1.5.4.1 Competence gained through the theoretical training shall be demonstrated through written or oral examination or through suitable computer tests.

從理論課程訓練所獲取之適任性應藉由筆試或口試或適當之電腦測試，予以證明。

A1.5.4.2 Examinations and tests shall cover the sets of modules attended by the trainee, as applicable.

適用時，考試與測試應涵蓋學員所參與之科目。

A1.5.4.3 With respect to competence gained through practical training being demonstrated by: 有關藉由實務課程訓練所獲取之適任性，應經由下列方式予以證明：

.1 a surveyor, this shall be accomplished by the surveyor satisfactorily completing the surveys associated with the competence whilst under the supervision of the tutor. The surveyor would be expected to be able to answer associated technical questions raised as thought necessary by the tutor to confirm levels of understanding. The results of the tutor's review shall be annotated on the respective training record; and

驗船師 – 在師傅督導下，該驗船師成功完成配合適任性之檢驗。該驗船師應能回答師傅認為必要之相關技術問題，以確認瞭解之程度。師傅審查之結果應在個人訓練紀錄簿上評註。

.2 a plan approval staff member, this shall be accomplished by the staff member satisfactorily completing the appraisal of drawings against the relevant classification rules and statutory regulations as verified through a review by the tutor of the staff member's work. The results of the tutor's review shall be annotated on the respective training record.

審查員 – 藉由從業人員工作之師傅審查，查證該員依據相關船級協會規範及法定章程成功完成圖面審核。而師傅審查之結果應在個人訓練紀錄簿評註。

A1.5.4.4 A competent person shall perform examinations of theoretical training or witnessing practical competence.

適任人員應完成理論課程訓練之考試或見證實務適任性。

A1.5.4.5 During examinations and tests, use of the relevant working documents (rules, conventions, checklists, etc.) by the trainee shall be considered allowable.

考試及測試期間，應允准學員使用相關工作指導專書(規範、公約、查核表等)。

A1.5.5 Audit staff 稽核員

A1.5.5.1 Theoretical training

理論課程訓練

A1.5.5.1.1 Theoretical training should address the following:

理論課程訓練應著重於下列事項：

.1 principles and practice of management systems auditing;

管理制度稽核之原則與實務；

.2 the requirements of the international Safety Management (ISM) Code and its interpretation and applications;

國際安全管理 (ISM) 章程之要求及其解釋條文與使用；

.3 mandatory rules and regulations and applicable codes, guidelines and standards recommended by the IMO, flag States, classification societies and maritime industry organization; and

強制性航政法規與國際海事組織、船旗國、船級協會與航運組織所建議可適用之章程、準則和標準；及

.4 basic shipboard operations including emergency preparedness and response.

The time spent on each topic and the level of detail that it is necessary to include will depend on the qualifications and experience of the trainees, their existing competence in each subject, and the number of training audits to be carried out.

基本船上運作，包括應急準備與回應。每一主題所費時間及其所需列入之詳細，端賴學員之資格與經驗，暨每一主題之其既存適任性，及即將進行訓練稽核項目而定。

A1.5.5.1.2 The training may be modular in structure, in which case the period over which the theoretical training is delivered shall not exceed 12 months.

該訓練得以架構式分科化為之，在此情況下，完成理論課程訓練應不超過十二個月。

A1.5.5.1.3 Where appropriate, some elements may be delivered by means such as distance learning and e-learning. However, at least fifty per cent of the total theoretical training days shall be classroom-based in order to allow for discussion and debate and to allow candidates to benefit from the experience of the trainer.

適當時，某些單元得以遠距離及E化教學方式完成，惟至少全部理論課程訓練日數之50%應為課堂授課，俾得以討論與辯論方式為之，而且得以讓學員從講師之經驗中學到有用稽核內容。

A1.5.5.2 Examination 考試

A1.5.5.2.1 Confirmation that the learning objectives have been met shall be demonstrated by written examination at the end of the theoretical training, or at the end of each module if the training is not delivered in a single training course.

確認已達成學習目標，應在理論課程訓練結束時；或如果訓練無法在單一課程完成，在每一科目結束時，以筆試證明之。

A1.5.5.2.2 If the trainee fails the written examination, or any part thereof; a single resist will be permitted. A candidate who fails the resist will be required to undergo the corresponding theoretical training again before being allowed to make another attempt at the examination.

如果學員考試不及格或其中任何部分不及格，將允准單科不及格。單科不及格之學員被允准在該考試作任何其他嘗試之前，將被要求再接受相對應理論課程訓練。

A1.5.5.2.3 A candidate who passes a written examination shall receive a certificate, statement or other record indicating which of the competences have been addressed, and the dates on which the corresponding training took place.

考試及格之學員應取得一張證明書、陳述書或其他紀錄，以資證明適任性。

A1.5.5.3 Practical training

實務課程訓練

A1.5.5.3.1 A person authorized to carry out ISM audits shall have completed at least the minimum number of training audits under supervision as specified by the RO.

被授權進行ISM稽核人員，在驗船機構所規定之督導下，至少應已完成訓練稽核之最少次數。

A1.5.5.3.2 The RO shall establish procedures for ensuring and demonstrating that the required competence has been achieved.

驗船機構應建立程序書，以確保並證明已達到所要求之適任性。

A1.6 Qualification 資格

A1.6.1 After completion of the theoretical and practical training, with positive results, the trainee is granted the appropriate authorizations to work independently. The activities they are qualified to perform (types of surveys, types of ships, types of design approval, etc.) are identified.

完成理論與實務課程之後，在有把握效果下，授予該學員適當職位，俾獨立工作，認定其資格以執行(檢驗類型、船舶類型、設計認可類型等)。

A1.6.2 The criteria adopted by the RO for granting qualifications shall be documented in the appropriate quality management system documents.

驗船機構所採納之授予資格標準，應在適當品質管理制度文件上規定之。

A1.7 Assessment of training effectiveness 有效性之評估

A1.7.1 The methods of training effectiveness assessment may include monitoring, testing, etc., on the regular basis according to the RO's system.

訓練有效性之評估方法應列入監管、測試等章節，依據驗船機構制度定期為之。

A1.7.2 The criteria adopted by the RO for training effectiveness assessment shall be documented in the appropriate RO quality management system documents.

驗船機構所採納之訓練有效性評估之標準應在適當品質管理制度文件上規定之。

A1.7.3 Evidence of training effectiveness assessment shall be provided.

應提供訓練有效性評估之證據。

A1.8 Maintenance of qualification 資格之維持

A1.8.1 The criteria adopted by the RO for maintenance or updating of qualifications shall be in accordance with and documented in the appropriate RO quality management system documents.

驗船機構所採納之資格維持或更新知識標準應在適當品質管理制度文件上規定之。

A1.8.2 Updating of qualifications may be done through the following methods:

資格之知識更新得藉下列方法為之：

.1 self-study (unassisted study);

自修(未協助之學習)；

.2 different courses and seminars organized in local offices and/or in the main offices of the RO;

在驗船機構之分支機構及/或總部舉辦不同課程及研討會；

.3 extraordinary technical seminars in case of significant changes in the RO's rules or international conventions, codes, etc. (with examination if required); and

如果驗船機構規範或國際公約、章程等有重大改變之特別技術研討會(必要時要考試)；
及

.4 special training on specific works or type of survey in some areas of the activity, which are determined by activity monitoring or by a long time absence of practical experience.

在某些技術活動領域之特定工作或檢驗類型，其特別訓練，係由技術活動監管或長時間無現場實務經驗決定之。

A1.8.3 Maintenance of qualifications in accordance with these criteria shall be verified at annual performance review.

依據此等標準之資格維持應在年度成效審查時查證之。

A1.9 Activity monitoring 技術活動監管

A1.9.1 Purpose 目的

Activity monitoring has the purpose:

技術活動監管有下列目的：

.1 to assess whether the individuals are competent and capable of carrying out their authorized and assigned work independently, consistent with the RO's policies and practices;

評估個人是否適任，而且能夠獨立進行其被授權與指派之工作，與該驗船機構之政策和實務作法一致；

.2 to identify needs for continual improvement in aligning the technical services across the organization; and

在整體機構，使每位從業人員技術服務一樣，找出持續改進之需要性；及

.3 to identify need for improvements in the guidance processes and/or tools provided for the staff.

在提供從業人員檢驗、審圖與過程之指引及/或工具，找出改進之需要性。

A1.9.2 Monitoring 監管

A1.9.2.1 Headquarters, regional or local offices, may initiate activity monitoring. It shall be carried out by persons who are qualified in the survey or audit being monitored.

總部、分支機構或現場辦公室得啟動技術活動監管，該監管應由具有與正在監管項目有關之檢驗或稽核資格之人員為之。

A1.9.2.2 It shall be carried out to the extent that the work of each surveyor or auditor engaged in survey or audit work will be monitored at least once every other calendar year.

Where a person carries out both survey and audit work, they shall be monitored in both work activities at least once every other calendar year. Only one type of survey for a qualified surveyor and one type of audit for a qualified auditor need be monitored within the two-year cycle. Persons doing plan approval shall be monitored

at least once every other calendar year.

該監管進行之程度應為：每位從事檢驗或稽核工作之驗船師或稽核員，應至少每間隔一個曆年度監管一次。當某人同時進行檢驗與稽核工作，其兩種工作之技術活動應至少每間隔一個曆年度監管一次。只有具有一種類型檢驗之有資格驗船師及具有一種類型之有資格稽核員在二年內之週期接受監管。審圖員應至少每間隔一個曆年度監管一次。

A1.9.2.3 Subsequent to the monitoring, the monitoring surveyor or auditor shall report the activity.

監管後，進行監管驗船師或稽核員應報告該技術活動。

A1.9.2.4 Should any comments be necessary, or findings made, these will be included in the report, for review and corrective action.

如果有任何必要之意見或發現，將列入報告中，作審查與矯正行動之用。

A1.9.3 Method 方法

A1.9.3.1 Activity monitoring shall be performed by personnel authorized to undertake activity monitoring.

技術活動監管應由經授權承擔技術活動監管團隊執行。

A1.9.3.2 Preparation shall include familiarization with the processes, requirements and tools (e.g. software) associated with the activity to be witnessed during the activity monitoring.

準備工作應包括熟悉與技術活動監管期間內將見證之技術活動有關之過程、要求與工具(如軟體)。

A1.9.3.3 The monitoring process shall include a review of relevant performance information related to the individual's work. This may include: report and certificate accuracy, meeting objectives, received complaints, PSC detention feedback.

監管過程應包括與個人工作有關之相關成效資料，此資料包括：驗船、稽核報告與發證之正確性、目標之達成、接到之客戶抱怨、港口國管制滯留回饋。

A1.9.3.4 Survey, audit or plan approval activity selected for monitoring shall have an extent such as to cover a maximum possible range of activity and qualifications that can be monitored during the attendance.

被選擇作監管之檢驗、稽核或審圖技術活動應具有某種程度，俾涵蓋在參與期間能被監管之技術活動與資格之最大可能呈現範圍。

A1.9.3.5 Monitoring shall include, but not be limited to, evaluation of the individual's:

監管應包括，但不限於，下列之個人評估：

.1 personal safety awareness;

個人安全警覺；

.2 understanding and application of the relevant requirements;

相關要求之瞭解與應用；

.3 technical capabilities;

技術能力；

.4 understanding of the related requirements; and

有關要求之瞭解；及

.5 standards of reporting and communication.

報告與連繫標準。

A1.9.4 Reporting 報告

Subsequent to the monitoring, a report shall be made with conclusions with respect to:
監管後，對下列項目作報告，並列入結論：

- .1 whether the individuals assessed are capable of carrying out their authorized and assigned work (including particularly positive aspects);
被評估之個人是否有能力進行其經授權及指派之工作(尤其包括非負面觀點)；
- .2 any areas of improvement; and
改進之領域；及
- .3 any recommended training requirements.
建議之訓練要求。

A1.9.5 Evaluation 評估

The monitoring report shall be evaluated by management who will determine the individual's continued authorization or possible training requirements to obtain further authorization. The report shall be completed and reviewed annually.

管理階層主管應評估監管報告，俾判斷是否繼續授權其下屬進行所指派之工作，抑或安排可能的訓練課程方可取得進一步授權。此監管報告之完成與審查，應每年為之。

A1.9.6 Implementation 執行

The RO shall:

驗船機構應將下列活動文件化或作紀錄：

- .1 document the activity monitoring methodology, including how it is reported;
監管技術活動之方法，包括如何作報告，均予以文件化；
- .2 document how the authorization to undertake activity monitoring is achieved;
如何授權以承擔技術活動監管，予以文件化；
- .3 document consequence and actions to undertake if activity-monitoring timing is exceeded;
如果技術活動監管超過時程，承擔後果與作為，予以文件化；
- .4 maintain records to demonstrate that all relevant staff has been monitored in the prescribed period; and
- .5 maintain records to demonstrate level of technical performance and the effect of possible improvement activities across the organization through the analysis of activity monitoring.
藉由分析技術活動監管，並作紀錄，展現全體機構技術成果之程度，暨可能改進之技術活動之影響。

A1.10 Training of support staff 助理技師之訓練

Support staff shall have training and/or supervision commensurate with the tasks they are authorized to perform.

助理技師所接受之訓練及/或督導，應與其被授權進行之工作相稱。

A1.11 Records 紀錄

Records shall be maintained for each surveyor/plan approval staff member, indicating:

每位驗船師/審圖員應備有訓練紀錄卡，該紀錄卡記載下列各項：

- .1 formal education background;
正式教育背景；
- .2 professional experience prior to joining the RO;
進入該驗船機構前之經歷；
- .3 evidence of theoretical training completed;
完成理論課程訓練之證據；
- .4 evidence of practical training completed;
完成實務課程訓練之證據；
- .5 evidence of examinations and tests;
考試與測試之證據；
- .6 professional experience during employment at the RO; and
受雇於該驗船機構期間之經歷；及
- .7 periodical updating of knowledge.
定期知識更新。

Appendix 2 附件二

SPECIFICATIONS ON THE SURVEY AND CERTIFICATION FUNCTIONS OF RECOGNIZED ORGANIZATIONS ACTING ON BEHALF OF THE FLAG STATE 代表船旗國執行之驗船機構檢驗與發證功能之規章

A2.1 SCOPE 範圍

A2.1.1 This document contains minimum specifications for organizations recognized as capable of performing statutory work on behalf of a flag State in terms of certification and survey functions connected with the issuance of international certificates.

本文件涵蓋代表船旗國在發證與檢驗功能方面(與簽發國際證書有關)能進行法定任務之最低規章。

A2.1.2 The principle of the system described below is to divide the specifications required into different elementary modules with a view to selecting the relevant modules for each function of certification and survey.

以下所述本制統原則，為了方便讀者針對每一發證與檢驗功能選擇相關科目，所要求規章分成不同基本科目。

A2.2 AREAS OF INTEREST COVERED BY ELEMENTARY MODULES

基本科目所涵蓋之利害相關領域

.1 Management

管理

.2 Technical appraisal

技術審圖

.3 Surveys

檢驗

.4 Qualifications and training.

資格與訓練

A2.2.1 Management 管理

Module 1A: Management functions

科目1A：管理功能

The management of the RO shall have the competence, capability and capacity to organize, manage and control the performance of survey and certification functions in order to verify compliance with requirements relevant to the tasks delegated and shall, inter alia:

驗船機構之管理應具有適任、能力與專業，以組織、管理與管制檢驗與發證功能之表現，俾查證是否符合所委派任務有關之要求，而且該管理著重於下列事項：

.1 possess an adequate number of competent supervisory, technical appraisal and survey personnel;

雇用足量之適任監督人員、技術審圖人員及驗船師；

.2 provide for the development and maintenance of appropriate procedures and instructions;

制定與維持合適程序書與工作指導書；

.3 provide for the maintenance of up-to-date documentation on interpretation of the

relevant instruments;
維持最新版之相關法律文件解釋條文；

.4 give technical and administrative support to field staff; and
給現場工作人員技術與行政上之支援；及

.5 provide for the review of survey reports and provision of experience feedback.
規定檢驗報告之審查，並提供經驗之回饋。

A2.2.2 Technical appraisal 技術審圖

Module 2A: Hull structure

科目2A：船體結構

The RO shall have the appropriate competence, capability and capacity to perform the following technical evaluations and/or calculations pertaining to:

驗船機構應具有足夠適任、能力與專業，以執行與下列有關之技術評定及/或計算：

.1 longitudinal strength;
縱向強度；

.2 local scantlings such as plates and stiffeners;
諸如板材及防撓材等之局部結構尺寸；

.3 structural stress, fatigue and buckling analyses; and
結構應力、疲勞強度與挫曲強度分析；及

.4 materials, welding and other pertinent methods of material-joining, for compliance with relevant rules and convention requirements pertaining to design, construction and safety.
材料、電焊及其他與材料連接之有關連方法，以符合與設計、構造及安全有關之相關規範與公約要求。

Module 2B: Machinery systems

科目2B：輪機系統

The RO shall have the appropriate competence, capability and capacity to perform technical evaluations and/or calculations pertaining to:

驗船機構應具有足夠適任、能力與專業，以執行與下列有關之技術評定及/或計算：

.1 propulsion, auxiliary machinery and steering gear;
推進機、輔機及操舵裝置；

.2 piping; and
管路；及

.3 electrical and automation systems,
電氣與自動化系統

for compliance with relevant rules and convention requirements pertaining to design, construction and safety.

以符合與設計、構造及安全有關之相關規範與公約要求。

Module 2C: Subdivision and stability

科目2C：艙區劃分與穩度

The RO shall have the appropriate competence, capability and capacity to perform technical

evaluations and/or calculations pertaining to:

驗船機構應具有足夠適任、能力與專業，以執行與下列有關之技術評定及/或計算：

- .1 intact and damage stability;
完整與破損穩度；
- .2 inclining test assessment;
傾斜試驗評估；
- .3 grain loading stability; and
穀類裝載穩度；及
- .4 watertight and weathertight integrity.
水密及風雨密完整性。

Module 2D: Load line

科目2D：載重線

The RO shall have the appropriate competence, capability and capacity to perform the following technical evaluations and/or calculations pertaining to:

驗船機構應具有足夠適任、能力與專業，以執行與下列有關之技術評定及/或計算：

- .1 freeboard calculation; and
乾舷計算；及
- .2 conditions of assignment of freeboard.
勘劃乾舷之條件。

Module 2E: Tonnage

科目2E：噸位

The RO shall have the appropriate competence, capability and capacity to perform technical evaluations and/or calculations pertaining to tonnage computation.

驗船機構應具有足夠適任、能力與專業，以執行與噸位計算有關之技術評定及/或計算：

Module 2F: Structural fire protection

科目2F：防火構造

The RO shall have the appropriate competence, capability, and capacity to perform technical evaluations and/or calculations pertaining to:

驗船機構應具有足夠適任、能力與專業，以執行與下列有關之技術評定及/或計算：

- .1 structural fire protection and fire isolation;
防火構造與火災隔離；
- .2 use of combustible materials;
可燃材之使用；
- .3 means of escape; and
逃生措施；及
- .4 ventilation systems.
通風系統

Module 2G: Safety equipment

科目2G：安全設備

The RO shall have the appropriate competence, capability and capacity to perform technical

evaluations and/or calculations pertaining to:

驗船機構應具有足夠適任、能力與專業，以執行與下列有關之技術評定及/或計算：

- .1 life-saving appliances and arrangements;
救生設備與佈置；
- .2 navigation equipment;
航行設備；
- .3 fire detection and fire alarm systems and equipment;
火災偵測及火災警報系統與設備；
- .4 fire-extinguishing system and equipment;
消防系統與設備；
- .5 fire control plans;
火災控制圖；
- .6 pilot ladders and pilot hoists;
引水人梯及引水人昇降梯；
- .7 lights, shapes and sound signals; and
號燈、號標與音響信號；及
- .8 inert gas systems.
惰氣系統。

Module 2H: Oil pollution prevention

科目2H：防止油污染

The RO shall have the appropriate competence, capability and capacity to perform technical evaluations and/or calculations pertaining to:

驗船機構應具有足夠適任、能力與專業，以執行與下列有關之技術評定及/或計算：

- .1 monitoring and control of oil discharge;
油料排放監測與管制；
- .2 segregation of oil and ballast water;
貨油與壓艙水之隔離；
- .3 crude oil washing;
原油洗艙；
- .4 protective location of segregated ballast spaces;
隔離壓艙水空間之防護位置；
- .5 pumping, piping and discharge arrangements; and
抽排、管路及排放安排；及
- .6 shipboard oil pollution emergency plans (SOPEPs).
船上油污染應急計畫。

Module 2I: NLS pollution prevention

科目2L：防止危害液體物質污染

The RO shall have the appropriate competence, capability and capacity to perform technical evaluations and/or calculations pertaining to:

驗船機構應具有足夠適任、能力與專業，以執行與下列有關之技術評定及/或計算：

- .1 list of substances the ship may carry;
船上可載運物質清單；
- .2 pumping system;
抽排系統；
- .3 stripping system;
收艙系統；
- .4 tank-washing system and equipment; and
洗艙系統與設備；及
- .5 underwater discharge arrangements.
水下排放佈置

Module 2J: Radio

科目2J：無線電

The RO shall have the appropriate competence, capability and capacity to perform technical evaluations pertaining to:

驗船機構應具有足夠適任能力與專業，以執行與下列有關之技術評定：

- .1 radiotelephony;
無線電話；
- .2 radiotelegraphy; and
無線電報；及
- .3 GMDSS.
全球海上遇險與安全系統

Alternatively, a professional radio installation inspection service company approved and monitored by the RO according to an established and documented programme may perform these services. This programme is to include the definition of the specific requirements the company and its radio technicians shall satisfy.

另一替代方式為：依據某一已建立並文件化之規畫，由驗船機構認可並監管之職業無線電裝置檢查服務公司，得執行此等服務。該計畫將包括特定要求之界定，該公司及其無線電技師應符合要求。

Module 2K: Carriage of dangerous chemicals in bulk

科目2K：載運危險化學品

The RO shall have the appropriate competence, capability and capacity to perform technical evaluations and/or calculations pertaining to:

驗船機構應具有足夠適任、能力與專業，以完成與下列有關之技術評定及/或計算：

- .1 ship arrangement and ship survival capacity;
船舶佈置與船舶倖存能力；
- .2 cargo containment and material of construction;
液貨容載與構造材料；
- .3 cargo temperature control and cargo transfer;
液貨溫度控制與液貨駁送；
- .4 cargo tank vent systems and environmental control;
液貨艙通氣系統與環境控制；

.5 personnel protection; operational requirements; and
人員防護；作業要求；及

.6 list of chemicals the ship may carry.
船上得載運化學品清單。

Module 2L: Carriage of liquefied gases in bulk

科目2L：載運散裝液化氣體

The RO shall have the appropriate competence, capability and capacity to perform technical evaluations and/or calculations pertaining to:

驗船機構應具有足夠適任、能力與專業，以執行與下列有關之技術評定及/或計算：

.1 ship arrangement and ship survival capacity;
船舶佈置與船舶倖存能力；

.2 cargo containment and material of construction;
液貨容載與構造材料；

.3 process pressure vessels and liquid, vapour and pressure piping systems;
裝卸過程壓力容器及液體、蒸發氣與壓力管路系統；

.4 cargo tank vent systems and environmental control;
液貨艙通氣系統與環境控制；

.5 personnel protection;
人員防護；

.6 use of cargo as fuel; and
使用液貨作為燃料；及

.7 operational requirements.
作業要求。

A2.2.3 Surveys 檢驗

Module 3A: Survey functions

科目3A：檢驗

The RO shall have the appropriate competence, capability and capacity to perform the required surveys under controlled conditions as per the RO's internal quality management system and, representing an adequate geographical coverage and local representation as required. The work to be covered by the staff is described in the relevant sections of the appropriate survey guidelines developed by the Organization.

驗船機構應具有足夠適任能力與專業，俾按其內部品質管理制度所規定之管制條件，完成所要求之檢驗。而且該機構在全球各地有足夠涵蓋範圍，另視情設置分支機構。從業人員所涵蓋之工作，規定於本組織所制定之檢驗準則相關章節。

A2.2.4 Qualifications and training 資格與訓練

Module 4A: General qualifications

科目4A：一般資格

RO personnel performing, and responsible for, statutory work shall meet, as a minimum, the requirements defined in part 2, section 4.2.5.

執行並負責法定工作之驗船機構人員，應至少符合第二部分之第4.2.5節所界定之要求。

Module 4B: Radio survey qualifications

科目4B：無線電檢驗資格

A professional radio installation inspection service company, approved and monitored by the RO according to an established and documented programme, may do surveys. This programme is to include the definition of the specific requirements the company and its radio technicians shall satisfy, including, inter alia, requirements for internal tutored training covering at least:

依據某一已建立並文件化之計畫，由驗船機構認可並監管之職業無線電裝置檢查服務公司得進行檢驗。該計畫係包括特定要求之界定，該公司及其無線電技師應符合該要求，特別包括內部師徒制訓練。此訓練至少涵蓋下列各項：

- .1 radiotelephony;
無線電話；
- .2 radiotelegraphy;
無線電報；
- .3 GMDSS; and
全球海上遇險及安全系統；及
- .4 initial and renewal surveys.
初次及換證檢驗。

Radio technicians carrying out surveys shall have successfully completed, as a minimum, at least one year of relevant technical school training, the internal tutored training programme of his/her employer and at least one year of experience as an assistant radio technician. For exclusive radio surveyors to the RO, equivalent requirements as above apply.係

進行檢驗之無線電技師應至少已完成一年以上之相關技術學校訓練，其內部雇用人員師徒制訓練計畫，並至少有一年助理無線電技師經驗。對驗船機構聘用之專任無線電檢驗師，適用前述之同等要求。

A2.3 SPECIFICATIONS PERTAINING TO THE VARIOUS CERTIFICATES

有關各種證書規章

A2.3.1 Passenger ship safety certificate

客船安全證書

Initial certification, renewal survey

初次發證與換證檢驗

A2.3.1.1 Module Nos. 1A, 2A, 2B, 2C, 2D, 2F, 2G, 2J, 3A, 4A and 4B apply.

適用科目編號：1A、2A、2B、2C、2D、2F、2G、2J、3A、4A及4B。

A2.3.1.2 For this certification, the system shall cover practical tutored training on the following issues as appropriate for Technical Appraisal and Support staff (TS) and Field Surveyors (FS), respectively:

為了本發證，本制度應酌情對技術評定及技術助理(TS)與現場驗船師(FS)分別在下列課題，施以實務師徒制訓練：

- .1 TS: SOLAS 74, as amended.
TS: SOLAS 74及其修正案
- .2 FS: SOLAS 74, as amended:
FS: SOLAS 74及其修正案：
- .1 initial survey, report, and issuance of certificate; and

初次檢驗、報告及證書之簽發；及

- .2 renewal survey, report, and issuance of certificate.
換證檢驗、報告及證書之簽發。

A2.3.2 Cargo ship safety construction certificate 貨船安全構造證書

Initial certification, annual/intermediate, renewal surveys 初次發證、年度/中期與換證檢驗

A2.3.2.1 Module Nos. 1A, 2A, 2B, 2C, 2F, 3A and 4A apply.
適用科目編號：1A、2A、2B、2C、2F、3A及4A。

A2.3.2.2 For this certification the system shall cover practical tutored training on the following issues as appropriate for Technical Appraisal and Support staff (TS) and Field Surveyors (FS), respectively:
為了本發證，本制度應酌情對技術評定及技術助理(TS)與現場驗船師(FS)分別在下列課題，施以實務師徒制訓練：

- .1 TS: SOLAS 74 chapters II-1, II-2 and XII with any amendments and appropriate classification rules.
TS: SOLAS 74第II-1、II-2及XII章連同任何修正案與適當船級規範。

- .2 FS: Pertinent technical surveys (class surveys or similar), newbuilding:
FS: 相關技術檢驗(船級檢驗或類似者)、新造船之下列項目：

- .1 hull structure and equipment; and
船體結構與設備；及

- .2 machinery and systems installation and testing.
輪機與系統之安裝與測試。

- .3 FS: Pertinent technical surveys (class surveys or similar), ships in operation:
FS: 相關技術檢驗(船級檢驗或類似者)、營運中船舶之下列項目：

- .1 annual/intermediate survey;
年度/中期檢驗；

- .2 renewal survey; and
換證檢驗；及

- .3 bottom survey.
船底檢驗。

- .4 FS: SOLAS 74 chapters II-1, II-2 and XII, as amended:
FS: SOLAS 74第II-1、II-2和XII章及其修正案：

- .1 initial survey, report, issuance of certificate;
初次檢驗、報告、證書之簽發；

- .2 annual/intermediate survey and report; and
年度/中期檢驗與報告；及

- .3 renewal survey, report and issuance of certificate.
換證檢驗、報告及證書之簽發。

A2.3.3 Cargo ship safety equipment certificate

貨船安全設備證書

Initial certification, annual, periodical, renewal surveys

初次發證與年度、定期、換證檢驗

A2.3.3.1 Module Nos. 1A, 2G, 3A and 4A apply.

適用科目編號：1A、2G、3A及 4A。

A2.3.3.2 For this certification the system shall cover practical tutored training on the following issues as appropriate for Technical Appraisal and Support staff (TS) and Field Surveyors (FS), respectively:

為了本發證，本制度應酌情對技術評定及支援從業人員(TS)與現場驗船師(FS)分別在下列課題，施以實務師徒制訓練：

.1 TS: SOLAS 74 chapters II-1, II-2, III and V, as amended, and applicable aspects of COLREG 72, as amended.

TS: SOLAS 74第II-1、II-2、III及V章及其修正案暨COLREG 72之可適用部分及其修正案。

.2 FS: SOLAS 74 chapters II-1, II-2, III and V, as amended, and applicable aspects of COLREG 72, as amended:

FS: SOLAS 74第II-1、II-2、III 及 V章及其修正案暨COLREG 72之可適用部分及其修正案：

.1 initial survey, report and issuance of certificate;

初次檢驗、報告及證書之簽發；

.2 annual/periodical survey and report; and

年度/定期檢驗與報告；及

.3 renewal survey, report and issuance of certificate.

換證檢驗、報告及證書之簽發。

A2.3.4 Cargo ship safety radio certificate

貨船安全無線電證書

Initial certification, periodical, renewal surveys

初次發證與定期、換證檢驗

A2.3.4.1 Module Nos. 1A, 2J, 3A and 4B apply.

適用科目編號：1A、2J、3A及4B。

A2.3.4.2 For this certification the system shall cover practical tutored training on the following issues for Technical Appraisal and Support staff (TS) and Field Surveyors (FS) respectively:

為了本發證，本制度應對技術評定及技術助理(TS)與現場驗船師(FS)分別在下列課題，施以實務師徒制訓練：

.1 TS: SOLAS 74 chapter IV, as amended.

TS: SOLAS 74 第IV章及其修正案。

.2 FS: Reference Module 4B.

FS: 引用科目4B。

A2.3.5 International Safety Management Code certification

國際安全管理章程發證

Initial certification, annual/intermediate verifications, renewal certification

初次發證、年度/中期查證與換新證書

A2.3.5.1 All of the modules, with the exception of 2E (tonnage), apply to the extent that they relate to an RO's ability to identify and evaluate the mandatory rules and regulations with which a company's safety management system and ships shall comply.

所有科目（但2E – 噸位例外）適用程度為認定與評估公司安全管理制度與船舶應符合強制性航政法規之驗船機構能力有關者。

A2.3.5.2 For this certification, the system shall comply with the qualification and training requirements for ISM Code assessors contained in the Guidelines on Implementation of the International Safety Management (ISM) Code by Administrations.

為了本發證，本制度應符合ISM章程稽查員之資格與訓練要求，此等要求列於「主管機關履行國際安全(ISM)章程準則」中。

A2.3.6 International load line certificate

國際載重線證書

Initial certification, annual, renewal surveys

初次發證與年度、換證檢驗

A2.3.6.1 Module Nos. 1A, 2A, 2C, 2D, 3A and 4A apply.

適用科目編號：1A、2A、2C、2D、3A及4A。

A2.3.6.2 For this certification, the system shall cover practical tutored training on the following issues as appropriate for Technical Appraisal and Support staff (TS) and Field Surveyors (FS), respectively:

為了本發證，本制度應酌情對技術評定及助理技師(TS)與現場驗船師(FS)分別在下列課題，施以實務師徒制訓練：

.1 TS: Calculation of freeboard and approval of drawings for conditions of assignment according to ILLC 1966.

TS: 依據ILLC 1966為了勘劃各狀況之乾舷計算及圖面審核。

.2 FS: Pertinent technical surveys (class surveys or similar), newbuilding:

FS: 相關技術檢驗(船級檢驗或類似者)、新造船：

.1 hull structural survey;

船體結構檢驗；

.2 hull penetrations and closing appliances; and

船體貫穿件與關閉裝置；及

.3 stability/inclining test.

穩度/傾斜試驗。

.3 FS: Pertinent technical surveys (class surveys or similar), ships in operation:

FS: 相關技術檢驗(船級檢驗或類似者)、營運中船舶之下列項目：

.1 annual survey;

年度檢驗；

.2 renewal survey; and

換證檢驗；及

- .3 bottom survey.
船底檢驗。
- .4 FS: Measurement for load line/initial survey report.
FS: 載重線量測/初次檢驗報告
- .5 FS: Conditions for assignment/initial survey report.
FS: 勘劃各狀況/初次檢驗報告。
- .6 FS: Load line marking verification/initial survey report.
FS: 載重線標誌查證/初次檢驗報告
- .7 FS: Load line annual survey.
FS: 載重線年度檢驗
- .8 FS: Load line renewal survey, report and issuance of certificate.
FS: 載重線換證檢驗、報告及證書之簽發。

A2.3.7 International oil pollution prevention certificate

國際防止油污染證書

Initial certification, annual, intermediate, renewal surveys

初次發證與年度、中期、換證檢驗

A2.3.7.1 Module Nos. 1A, 2A, 2B, 2C, 2H, 3A and 4A apply.
適用科目編號：1A、2A、2B、2C、2H、3A及 4A。

A2.3.7.2 For this certification, the system shall cover practical tutored training on the following issues as appropriate for Technical Appraisal and Support staff (TS) and Field Surveyors (FS), respectively:

為了本發證，本制度應酌情對技術評定及支援從業人員(TS)與現場驗船師(FS)分別在下列課題，施以實務師徒制訓練：

- .1 TS: Approval of drawings and manuals according to MARPOL, Annex I.
TS: 依據MARPOL附則I之各種圖面與手冊審核。
- .2 FS: MARPOL, Annex I, as amended:
FS: MARPOL附則I及其修正案：
 - .1 initial survey, report and issuance of certificate;
初次檢驗、報告及證書之簽發；
 - .2 annual/intermediate survey and report; and
年度/中期檢驗與報告；及
 - .3 renewal survey, report and issuance of certificate.
換證檢驗、報告與證書之簽發。

A2.3.8 International pollution prevention certificate for the carriage of noxious liquid substances in bulk

國際防止載運散裝危害液體物質污染證書

Initial certification, annual, intermediate, renewal surveys

初次發證與年度、中期、換證檢驗

A2.3.8.1 Module Nos. 1A, 2A, 2B, 2C, 2I, 3A and 4A apply.
適用科目編號：1A、2A、2B、2C、2I、3A及4A。

A2.3.8.2 For this certification the system shall cover practical tutored training on the following issues as appropriate for Technical Appraisal and Support staff (TS) and Field Surveyors (FS), respectively:

為了本發證，本制度應酌情對技術評定及助理技師(TS)與現場驗船師(FS)分別在下列課題，施以實務師徒制訓練：

.1 TS: Approval of drawings and manuals according to MARPOL, Annex II and appropriate codes.

TS: 依據MARPOL附則II及適當章程審核各種圖面及手冊。

.2 FS: MARPOL, Annex II and appropriate codes:

FS: MARPOL附則II及適當章程：

.1 initial survey, report and issuance of certificate;

初次檢驗、報告及證書之簽發；

.2 annual/intermediate survey and report; and

年度/中期檢驗與報告；及

.3 renewal survey, report and issuance of certificate.

換證檢驗、報告與證書之簽發。

A2.3.9 International certificate of fitness for the carriage of dangerous chemicals in bulk

國際載運散裝危險化學品適合證書

Initial certification, annual, intermediate, renewal surveys

初次發證與年度/中期、換證檢驗

A2.3.9.1 Module Nos. 1A, 2A, 2B, 2C, 2K, 3A and 4A apply.

適用科目編號：1A、2A、2B、2C、2K、3A及4A。

A2. For this certification the system shall cover practical tutored training on the following issues as appropriate for Technical Appraisal and Support staff (TS) and Field Surveyors (FS), respectively:

為了本發證，本制度應酌情對技術評定及助理技師(TS)與現場驗船師(FS)分別在下列課題，施以實務師徒制訓練：

.1 TS: Approval of drawings and manuals according to International Code for the Construction and Equipment of Ships Carrying Dangerous Chemicals in Bulk (IBC Code).

TS: 依據載運散裝危險化學品船舶之構造與設備國際章程(IBC章程)審核各種圖面及手冊。

.2 FS: IBC Code:

FS: IBC章程

.1 initial survey, report and issuance of certificate;

初次檢驗、報告及證書之簽發；

.2 annual/intermediate survey and report; and

年度/中期檢驗與報告；及

.3 renewal survey, report and issuance of certificate.

換證檢驗、報告與證書之簽發。

A2.3.10 International certificate of fitness for the carriage of liquefied gases in bulk
國際載運散裝液化氣體適合證書

Initial certification, annual, intermediate, renewal surveys
初次發證與年度/中期、換證檢驗

A2.3.10.1 Module Nos. 1A, 2A, 2B, 2C, 2L, 3A and 4A apply.

適用科目編號：1A、2A、2B、2C、2L、3A及4A。

A2.3.10.2 For this certification the system shall cover practical tutored training on the following issues as appropriate for Technical Appraisal and Support staff (TS) and Field Surveyors (FS), respectively:

為了本發證，本制度應酌情對技術評定及助理技師(TS)與現場驗船師(FS)分別在下列課題，施以實務師徒制訓練：

.1 TS: Approval of drawings and manuals according to International Code for the Construction and Equipment of Ships Carrying Liquefied Gases in Bulk (IGC Code).

TS: 依據載運散裝液化氣體船舶之構造與設備國際章程(IBC章程)審核各種圖面及手冊

.2 FS: IGC Code:

FS: IGC章程

.1 initial survey, report and issuance of certificate;

初次檢驗、報告及證書之簽發；

.2 annual/intermediate survey and report; and

年度/中期檢驗與報告；及

.3 renewal survey, report and issuance of certificate.

換證檢驗、報告與證書之簽發。

A2.3.11 International tonnage certificate (1969)
國際噸位證書 (1969)

Initial certification
初次驗證

A2.3.11.1 Module Nos. 1A, 2E and 4A apply.

適用科目編號：1A、2E 和4A。

A2.3.11.2 For this certification the system shall cover practical tutored training on the following issues as appropriate for Technical Appraisal and Support staff (TS) and Field Surveyors (FS), respectively:

為了本發證，本制度應酌情對圖面審核技師(TS)及現場驗船師(FS)分別在下列課題，施以實務師徒制訓練：

.1 TS: Measurement and computation of tonnage according to:

TS: 依據以下資料量測並計算：

.1 1969 Tonnage Measurement Convention; and

1969年噸位丈量公約；及

.2 Pertinent IMO resolutions.

相關IMO決議案。

.2 FS: Marking survey and report.

FS: 標記檢驗與報告。

Appendix 3
附件三

ELEMENTS TO BE INCLUDED IN AN AGREEMENT
列入合約書之項目

A formal written agreement or equivalent between the flag State and the RO should, as a minimum, cover the following items:

船旗國與驗船機構之正式書面合約書應至少包含下列項目：

1 Application 適用

2 Purpose 目的

3 General conditions 一般條件

4 The execution of functions under authorization:

在授權下執行各種專業：

.1 Functions in accordance with the general authorization

依據一般授權所執行之各種專業

.2 Functions in accordance with special (additional) authorization

依據特殊(追加)授權所執行之各種專業

.3 Relationship between the organization's statutory and other related activities

該機構法定工作與其他工作間之關係

.4 Functions to cooperate with port States to facilitate the rectification of reported port State control deficiencies or the discrepancies within the organization's purview

與港口國合作，裨益於矯正港口國管制所指出之缺失或處理該機構權限內違章事件之各種專業。

5 Legal basis of the functions under authorization:

在授權下所執行之各種專業的法律依據：

.1 Acts, regulations and supplementary provisions

航政法規與補充條款

.2 Interpretations

解釋條文

.3 Deviations and equivalent solutions

認知差距與對應解決方法

6 Reporting to the flag State:

報告船旗國：

.1 Procedures for reporting in the case of general authorization

在一般授權下之報告程序

.2 Procedures for reporting in the case of special authorization

在特殊授權下之報告程序

.3 Reporting on classification of ships (assignment of class, alterations and cancellations), as applicable

適用時，報告船舶之船級(授予船級、船級變動與註銷)

.4 Reporting of cases where a ship did not in all respects remain fit to proceed to sea without danger to the ship or persons on board or presenting unreasonable threat of harm to the environment

報告不宜出航船舶，該船在各方面考量下如果出航，無法使該船或船上人員免於遭受危險或使海洋環境免於受到不合理危害之威脅。

.5 Other reporting

其他報告

7 Development of rules and/or regulations – Information:

規範及/或規則之制定 – 資訊

.1 Cooperation in connection with development of rules and/or regulations – liaison meetings

有關規範及/或規則制定之合作 – 開協調會

.2 Exchange of rules and/or regulations and information

規範及/或規則與資訊之交流

.3 Language and form

語言與格式

8 Other conditions: 其他條件：

.1 Remuneration 審圖/檢驗

.2 Rules for administrative proceedings 行政程序規章

.3 Confidentiality 保密

.4 Liability³ 責任

.5 Financial responsibility 財務責任

.6 Entry into force 生效

.7 Termination 中止

.8 Breach of agreement 違反合約

.9 Settlement of disputes 爭議解決

.10 Use of subcontractors 分包商之採用

.11 Issue of the agreement 簽發合約書

.12 Amendments 修正

³ ROs and its employees who are involved in or responsible for delivery of statutory certification and services may be required by the law of the flag State to be covered by professional indemnity or professional liability insurance in the event that liability is finally and definitively imposed on the flag State for loss or damage which is proved in a court of law to have been caused by any negligent act or omission by its RO. In this connection, the flag State may also consider placing a limitation on the level of liability and indemnification to be covered under that insurance or other compensation arrangements.

涉及或負責法定發證與服務之驗船機構及其雇用人員，可能被要求按該船旗國之法律負起職業賠償或職業責任，其情況為該責任經法院判決由於驗船機構任何疏忽作為或不作為已引起之最後造成船旗國損失或損害，在此情況下，該船旗國應可能制定接受保險條款或其他補償條款該負起之責任與賠償限度。

9 Specification of the authorization from the flag State to the organization:

從船旗國授權給該機構之說明

.1 Ship types and sizes

船舶類型與大小

.2 Conventions and other instruments, including relevant national legislation

公約及其他準法律文件，包括相關國內航政法規

.3 Approval of drawings 圖面審核

.4 Approval of material and equipment 機材審核

.5 Surveys 檢驗

.6 Issuance of certificates 證書之簽發

.7 Corrective actions 矯正行動

.8 Withdrawal of certificates 證書撤銷

.9 Reporting 報告

10 The flag State's supervision of duties delegated to the organization:

委任給該機構任務之船旗國監督：

.1 Documentation of quality assurance system

品質保證制度之文件化

.2 Access to internal instructions, circulars and guidelines

取得內部工作指導書、通報與準則

.3 Access by the flag State to the organization's documentation relevant to the flag State's fleet

船旗國有權取得與其船隊有關之該機構文件

.4 Cooperation with the flag State's inspection and verification work

與船旗國檢查和查證工作合作

.5 Provision of information and statistics on, e.g. damage and casualties relevant to the flag State's fleet.

提供資料與統計數據(如與船旗國船隊有關之損傷與海難)。

Technical Audit Instructions for Recognized Organization

驗船機構技術稽核作業指導書

Art. 1 Notwithstanding the requirements specified otherwise pertaining annual administrative audit, for the purpose of compliance with the Code for Recognized Organization (RO Code) adopted by resolution MSC.349(92) on 21 June 2013, this instructions was set out for technical audit so that the technical services provided by the recognized organization (RO) can be supervised.

第一條 縱有有關財團法人行政年度稽核規定，為了符合民國 102 年 6 月 21 日採納通過之 MSC.349(92)決議案 — 驗船機構章程 (簡稱 RO 章程)，制定本技術稽核作業指導書，俾驗船機構 (簡稱 RO) 所提供之技術服務受到督導。

Art.2 There are four kinds of technical audit activities pertaining to classification and statutory certification activities to be arranged by the RO properly in due time.

第二條 與船級和法定發證活動有關連之技術稽核計有下列四種，應由驗船機構及時適當安排之。

.1 Initial Audit – An initial audit shall be carried out on the quality management system (QMS) of the RO when a Evidence of Conformity (EOC) is issued for the first time.

初次稽核 – 當第一次簽發符合證明文件 (簡稱 EOC)，應對驗船機構之品質管理制度 (簡稱 QMS) 進行初次稽核。

.2 Renewal Audit – A renewal audit of the QMS of the RO shall be arranged prior to the expiry date of the EOC. The audit extents are same as those of initial audit.

換證稽核 – 在 EOC 屆滿日期之前，應安排驗船機構品質管理制度之換證稽核。該稽核範圍與初次稽核範圍相同。

.3 Biennial Audit – An biennial audit shall be carried out within three months before or after the second and fourth anniversary date, which means the day and the month of each year corresponding to the date of expiry of Evidence of Conformity, of the effective period of the EOC. The audit extents which are less than those of renewal

audit shall be properly planned by the assigned audit team.

二年一次稽核 – 在 EOC 有效日期之第二次與第四次週年日（指每年與符合證明文件期限屆滿日期相同日期）前後三個月應進行二年一次稽核。該稽核範圍若比換證稽核少，則由被委任稽核小組妥善規劃之。

.4 Additional Audit – An additional audit should be arranged at the request of the Maritime and Port Bureau (MPB) or RO at any time other than the renewal or intermediate audit specified above when any of the following cases have been occurred:

追加稽核 – 非上述換證稽核或中期稽核，發生下列情況，宜應航管局或驗船機構之要求，在任何時候，進行追加稽核：

(1) When substantial amendments have been made to the QMS by the RO.

驗船機構對品質管理制度有實質重大修正時。

(2) When substantial amendments have been made to the RO Code by the IMO.

國際海事組織對 RO 章程有實質重大修正時。

(3) When non-conformit(y)ies (is) are made by attending auditors and deemed necessary to do so.

現場稽核員發現有缺失，認為必需如此為之時。

(4) When the MPB deems such an audit is necessary

航港局認為必要如此為之時。

Art. 3 Prior to initial or renewal audit, the RO shall submit the following documents to the MPB for review:

第三條 驗船機構在初次或換證稽核之前應提送下列文件，供航港局審核：

.1 The QMS manual and the content list of its relevant procedures.

品質管理制度手冊及其相關程序書之目錄清單。

.2 Company organization chart with the duties of each department involved in the classification and statutory certification activities.

公司組織架構圖，連同涉及船級和法定發證活動之每一部門職掌。

.3 The single point contact to directly communicate with the MPB.

與航港局連繫之單一窗口。

.4 The number list of survey staff, plan approval staff, audit staff for ISM/ISPS code and support staff, including non-executive survey staff.

驗船師、審圖員、國際安全管理章程或國際船舶與港口設施保安章程之稽核員及助理技師，包括非專任驗船師，其人數清單。

.5 The latest internal audit and management review reports or records.

最近一次內部稽核及管理審查報告或紀錄。

The requirement as mentioned in paragraph 1 can be omitted at the biennial audit. However, the documents to be submitted at the additional audit should be dealt with case by case.

在二年一次稽核時，第一項之要求可以省略；而追加稽核時，應提送之文件宜以個案處理之。

Art. 4 Upon completion of initial/renewal audit, the assigned auditor shall prepare the audit report as per the Appendix in this Regulation in one week pending the issuance of full term Evidence of Conformity by the MPB. But such EOC shall be subject to the submittal of the plan of proper corrective action(s) to be taken to rectify any non-conformit(y)ies set out by the attending auditors, if any. As soon as the corrective action plan with reasonable and practicable execution planning is received and reviewed by the MPB, the certificate shall be issued accordingly.

第四條 完成初次/換證稽核之後，在一星期內，該指派稽核員應利用本辦法附件準備稽核報告，而符合證明文件之長期符合證明文件則留待航港局簽發。但如現場稽核員留有不符合事項，該符合證明文件則受矯正不符合事項之適當計劃所箝制。航港局一接到矯正計劃，並審查，認為合理且實務可行，則應簽發該符合證明文件。

Art. 5 Upon completion of biennial or additional audit, the assigned lead auditor can either endorse on the EOC directly at site, if found the

non-conformit(y)ies (is) are minor, or endorse later as soon as receiving the plan of proper corrective action(s) to be taken to rectify any non-conformit(y)ies set out by the attending auditors. Thereafter, the audit report with a focus on classification and statutory certification and services process for biennial audit, or the relevant items to be audited for additional audit, along with the copy of endorsement, shall be submitted to the MPB for reference.

第五條 完成中期/追加稽核之後，如發現不符合事項不嚴重，則該指派稽核員可在符合證明文件上加簽之；抑或在接到現場稽核員所留不符合事項之適當矯正行動計劃後，才加簽之；其後，對二年一次稽核著重於船級與法定發證及服務過程之稽核報告，抑或對追加稽核著重於被稽核項目之報告，連同加簽影本，應提交給航港局備查。

Art.6 The MPB shall issue an Evidence of Conformity (EOC) to a qualified and competent RO. The period of validity of an EOC shall be six years from the date of completion of initial audit prescribed in paragraph 2.1 or the date of completion of renewal audit prescribed in paragraph 2.2.

第六條 航港局應簽發一張符合證明文件給適格又適任之驗船機構。符合證明文件之有效期限為六年，其計算方式為從第 2.1 項所述之初次稽核完成日，或第 2.2 項所述之換證稽核完成日算起。

Art. 7 Notwithstanding the requirements set forth in the Article 6 above, if the renewal audit is completed within three months before the expiry date of the existing EOC, the new EOC shall be valid from the date of completion of the renewal audit for a period of six years from the date of expiry of existing EOC.

第七條 縱有第六條所規定之要求，如換證稽核在現有符合證明文件屆滿日期前三個月內完成者，新簽發符合證明文件之有效性應從完成換證稽核日期算起，其六年之期限為從現有符合證明文件屆滿日算起。

Art. 8 Notwithstanding the requirements set forth in the Article 6 above, if the renewal audit is completed after the expiry date of the existing EOC, the new EOC shall only be valid from the date of completion of the renewal audit to a date not exceeding six years also from the date of expiry of the existing EOC.

第八條 縱有第六條所規定之要求，如換證稽核在現有符合證明文件屆滿日之後完成者，新簽發符合證明文件之有效性應僅從完成換證稽核日期算起，其六年之期限亦從現有符合證明文件屆滿日算起。

Art. 9 Notwithstanding the requirements set forth in the Article 6, if the renewal audit is completed earlier before three months of the expiry date of existing EOC, the new EOC shall be valid from the date of completion of the renewal audit for a period of six years from the date of completion of the renewal audit

第九條 縱有第六條所規定之要求，如換證稽核在現有符合證明文件屆滿前三個月之前完成者，新簽發符合證明文件之有效性應從完成換證稽核日期算起，其六年之期限從完成換證稽核之日期算起。

Art. 10 The EOC issued shall become invalid if the following violating acts or omissions have been occurred:

第十條 如果發生下列違反作為或不作為，已簽發之符合證明文件無效：

.1 when the RO does not undergo the periodical audits prescribed in Article 2.

驗船機構未按第二條之規定進行定期稽核。

.2 when no corrective action(s) has (have) been taken to rectify major non-conformit(y)ies by the RO.

驗船機構未採取矯正行動，以改正重大不符合事項。

.3 when corrective actions to rectify non-conformit(y)ies (has) have not been taken by the RO within the period specified by the lead auditor.

驗船機構在主導稽核員所規定之期限內，未採取矯正行動改正不符合事項。

.4 when the requirements of the RO Code have been amended and entered into force, but the RO does not follow the new amendments of the RO Code or is unable to conform thereto in due time.

當驗船機構章程之要求已修正，並生效，但驗船機構未遵守驗船機構章程之該新修正案或無法適時與其規定一致時。

.5 when audit fees and expenses have not been paid by the RO.

驗船機構未繳納稽核費用時。

Art. 11 The MPB shall notify the RO of the results of the audits as described in the Article 2 in writing when there (is) are non-conformit(y)ies for which necessary corrective actions shall be taken properly. The MPB shall, after consultation with the RO, also notify the RO of the time frame in the audit report by which the corrective action(s) shall be completed.

第十一條 航港局應函告驗船機構任何稽核之結果，當需要採取適當行動以矯正不符合事項時，航港局應與該驗船機構諮商，並於稽核報告上告知矯正行動要完成之期限。

Art. 12 When the RO is required by the MPB during any audits as described in the Article 2 to take appropriate corrective actions to rectify non-conformit(y)ies for the purpose of compliance with the RO Code in force, the RO shall take the necessary corrective actions in the time frame and undergo a following-up audit by themselves to verify the results of the actions taken. The results thereafter shall be made to the MPB for reference in writing.

第十二條 當第二條所述任何稽核期間，航港局要求驗船機構採取適當矯正行動，以改正不符合事項，俾符合業已生效之驗船機構章程，該驗船機構應在規定之期限內採取必要之矯正行動，並自行進行跟催稽核，以查證採取行動之結果，此等報告應函告航港局。

Art. 13 The qualified and competent technical auditors shall be selected among the following persons with good maritime service experience:

第十三條 具有資格又適任之技術稽核員應從下列擁有良好海事知識或品質管理管控服務經驗人員中遴選：

.1 1st class master or chief engineer experience serviced on ocean-going vessels for at least five years.

在遠洋船服勤至少五年之一等船長或輪機長經歷。

.2 maritime classification and statutory certification surveyor or ISM auditors with at least 5-year experience.

至少有五年經驗之入級與法定發證驗船師或 ISM 稽核員。

.3 port state control officer with at least 5-year experience.

至少五年經驗之港口國管制官員。

.4 inspector for domestic vessels with at least 8-year experience.

至少八年經驗之國內船檢查人員。

.5 ISO-9000 lead auditor with at least 8-year experience.

至少八年經驗之 ISO-9000 主導稽核員。

Any auditor selected by the MPB shall be familiar with the provisions of the RO Code.

航港局所遴選之任何稽核員應熟悉驗船機構章程之條款。

Art. 14 The audit team shall consist of 2-3 auditors. A lead auditor shall be selected among the auditors assigned by the MPB.

第十四條 稽核小組係由二至三名稽核員組成，從稽核員中選出一位主導稽核員，然後由航港局任命之。

Art. 15 The RO shall comply with the following requirements stipulated in the RO Codes, inter alia:

第十五條 驗船機構應符合驗船機構章程所規定之要求，尤其是下列條款：

.1 Establishment and maintenance of rules or regulations.

船級規範之建立與維持。

.2 Requirements regarding independence, impartiality, integrity, competence, responsibility and transparency.

有關自主性、公正性、正直性、適任性、責任性與透明度之要求。

.3 Provision of policy, organization structure, Quality Management System with proper procedures and instructions, personnel training and qualification, control of documents, survey plan and statistic analysis, information communication and technical cooperation, internal audit and management review.

具有政策、組織架構、品質管理制度連同程序書與工作指導書、人員訓練與資格、文件管制、檢驗計劃與統計分析、資料遞送與技術合作、內部稽核及管理審查。

.4 Provision of qualified human resources, sufficient financial supports and proper infrastructure along with environment precautions to be taken by any attending surveyor.

聘用具有資格之人力，提供足夠財力與辦公設施作為後盾，並對現場驗船師採取應付作業環境所需之預防措施。

.5 Executions of vertical contract audits for plan approval, new construction survey, in-service periodical survey/audit, and type approval or survey of materials and equipment carried out annually.

每年執行對圖面審核、新造船檢驗、營運中定期核驗/稽核及機材之型式認可或檢驗之垂直合約稽核。

.6 Provisions of classification and statutory certification and services processes.

提供入級與法定發證和服務過程。

.7 Systems to measure, analyze and improve classification and statutory certification services.

衡量、監管、分析及改進入級與法定發證服務之制度。

The above mandatory requirement as stipulated in Part 2 and Appendix 1 and 2 in detail in the code shall be followed by the RO strictly.

驗船機構應嚴格遵守驗船機構章程之第二部分及附件一與二所規定之上述強制性要求。

Art. 16 The audit fees and expenses shall be established by the MPB. Such amounts shall be paid to the auditors concerned directly by the audited RO.

第十六條 稽核費用由航管局制定之，該費用應由被稽核驗船機構直接支付給有關稽核員。

Art. 17 The standard format regarding the audit report and Evidence of Conformity attached to this regulation can be used by the auditors and MPB respectively subject to minor modification if deemed necessary.

第十七條 有關附於本條款之稽核報告與符合證明文件之標準格式，得分別由稽

核員與航港局使用之，惟得視情稍作修改。

Art. 18 The provisions stipulated in the Part II and Appendix 1 and 2 of the RO Code are considered as part of this instructions.

第十八條 驗船機構章程之第二部分及附件一與二之條款，應視為本作業指導書之一部分。

Art. 19 This instructions shall be entered in force in September, 2014.

第十九條 本作業指導書自民國 103 年 9 月起生效實施。



驗船機構稽核報告

Audit Report for Recognized Organization

日期 Date : _____

1. 一般資料 General

驗船機構名稱 RO's Name : _____

驗船機構地址 RO's Address : _____

稽核第一天日期

稽核最後一天日期

First Date of Audit : _____

Last Date of Audit : _____

2. 稽核類型 Type of Audit

- ☐ 初次稽核 Initial Audit ☐ 換證稽核 Renewal Audit ☐ 二年一次稽核 Biennial Audit ☐ 追加稽核 Additional Audit

3. 被稽核之發證類型 Type of Certification Audited

- | | |
|--|---|
| ☐ 貨船安全構造證書 Cargo Ship Safety Construction Certificate | ☐ 防止油污染證書 Oil Pollution Prevention Certificate |
| ☐ 貨船安全設備證書 Cargo Ship Safety Equipment Certificate | ☐ 防止污水污染證書 Sewage Pollution Prevention Certificate |
| ☐ 貨船安全無線電證書 Cargo Ship Safety Radio Certificate | ☐ 防止空氣污染證書 Air Pollution Prevention Certificate |
| ☐ ISM 符合文件 Document of Compliance for ISM Code | ☐ 能源效率證書 Energy Efficiency Certificate |
| ☐ ISM 安全管理證書 Safety Management Certificate for ISM Code | ☐ 載重線證書 Load Line Certificate |
| ☐ ISPS 章程船舶保全證書 Ship Security Certificate for ISPS Code | ☐ 防污系統證書 Anti-fouling System Certificate |
| ☐ 客船安全證書 Passenger Ship Safety Certificate | ☐ 噸位證書 Tonnage Certificate |
| ☐ IBC 章程/NLS 發證 IBC Code /NLS Certification | ☐ 海事勞工證書 Maritime Labour Certificate |
| ☐ 特種船舶安全證書 Special Purpose Ship Safety Certificate | ☐ INF 章程發證 INF Code Certification |
| ☐ 高速船安全證書 High-speed Craft Safety Certificate | ☐ MODU 章程發證 MODU Code Certification |
| ☐ IGC 章程發證 IGC Code Certification | ☐ IMSBC 章程符合文件 Document of Compliance for IMSBC |
| ☐ 載運危險品符合文件 Document of Compliance for Carrying Dangerous Goods | ☐ 防止垃圾污染符合文件 Document of Compliance (Garbage Pollution Prevention) |

4. 補充報告 Supplement Attached

- ☐ 稽核員說明 Auditor Statement
- ☐ 不符合項目 Non-conformity Note
- ☐ 觀察項目 Observation Note
- ☐ 驗船機構初次稽核檢查表 RO Initial Audit Checklist

5. 稽核摘要 Summary of Audit

簽署本報告之稽核員業已依據通部驗船機構技術稽核作業指導書進內上述主管稽核，發現品質管理制度符合驗船機構章程(MSC.349(92)決議案及其修正案)之要求/ 惟要接受附頁之不符合事項*

The undersigned have carried out the above audit according to the MOTC Technical Audit Instructions for Recognized Organization and found the Quality Management System in compliance with the requirements of the Code of Recognized Organization (Resolution MSC.349(92) as amended)* /subject to correction of the non-conformity(ies) set out in the attached non-conformity note*

6. 稽核員記述

Auditor Note

- | | | | |
|--------------------------|---|--------------------------|---|
| ☐ | 項稽核員意見
_____ items of auditor note set out | | |
| ☐ | 項不符合事項
_____ items of non-conformity set out | ☐ | 項觀察事項
_____ items of observation set out |
| ☐ | 應執行追加稽核，期限為
An additional audit shall be conducted by _____ | | |
| ☐ | 應提出矯正計畫，期限為
Corrective action plan shall be submitted by _____ | | |
| ☐ | 尚待交通部簽發符合證明文件，有效期限至
Pending issuance of evidence of conformity valid until _____ | | |
| ☐ | 符合證書加簽
Evidence of conformity endorsed | | |

主導稽核員, Lead Auditor

稽核員, Auditor

稽核員, Auditor

* 適當予以刪除

delete as appropriate

註：請酌情在空格打"x”

Note：Please insert in the box by a cross, as appropriate



驗船機構稽核檢查表
Checklist for RO Audit

I. General Requirements (2.3~2.8, 3.2 of RO Code)

Audited Items		Relevant QMS Documents	Conditions of Evidences	N/C or O/B
1.	Policy			
2.	Objective			
3.	Independence			
4.	Impartiality			
5.	Integrity			
6.	Competence			
7.	Responsibility			
8.	Transparency			

II. Organization, Communication and Management Review (3.8, 3.9, 3.10 of RO Code)

Audited Items		Relevant QMS Documents	Conditions of Evidences	N/C or O/B
1.	Organization			
2.	Internal Communication			
3.	Communication /Cooperation with flag state			
4.	Cooperation between ROs			
5.	Management Review			

III. Vertical Contract Audit (VCA) — Sampling Audit to be Adopted.

- ☐ Plan Approval — M.V. “_____”, IMO No. _____
- ☐ New Construction — M.V. “_____”, IMO No. _____
- ☐ In-service Periodical Survey — M.V. “_____”, IMO No. _____, Kind of Survey _____
- ☐ In-service Periodical Audit — M.V. “_____”, IMO No. _____, Kind of Survey _____
- ☐ Approval/Survey of Materials or Equipment (Service Supplier included) — Kinds of material/equipment _____

Items Audited		Relevant QMS Documents	Plans to be submitted	Non-personnel resources	Personnel* resources	Conditions of Evidences	N/C or O/B
Passenger Ship Safety Certificate	PS	TS					
		FS	NA				
Cargo Ship Safety Construction Certificate	SC	TS					
		FS	NA				

Cargo Ship Safety Equipment Certificate	SE	TS							
		FS			NA				
Cargo Ship Safety Radio Certificate	SR	TS							
		FS			NA				
ISM Code Certification	ISM	TS							
		FS			NA				
Load Line Certificate	LL	TS							
		FS			NA				
Oil Pollution Prevention Certificate	OPP	TS							
		FS			NA				
IBC/BCH Code (NLS) Certification	IBC	TS							
		FS			NA				
IGC/GC Certification	IGC	TS							
		FS			NA				
Tonnage Certificate	TON	TS							
		FS			NA				
HSC Code Certificate	HSC	TS							
		FS			NA				
Special Purpose Prevention Certificate	SPP	TS							
		FS			NA				
Air Pollution Prevention Certificate	APP	TS							
		FS			NA				
Energy Efficiency Certificate	EEC	TS							
		FS			NA				
Anti-fouling System Certificate	AFS	TS							
		FS			NA				
Document of	IMSBC	TS							

Compliance		FS			NA				
Maritime Labour Certificate	MLC	TS							
		FS			NA				
Document of Compliance for Carrying Dangerous Goods	DG	TS							
		FS			NA				
Marital/Equipment	ME	FS			NA				

TS: Technical Appraisal and Support staff FS: Field Surveyors *: also refer to item V

IV. Statutory Certification and Services Process not Audited through VCA (5.3~5.7 & Appendix 1+2 of RO Code)

Audited Items		Relevant QMS Documents		Plans to be submitted	Non-personnel resources	Personnel* resources	Conditions of Evidences	N/C or O/B
Passenger Ship Safety Certificate	PS	TS						
		FS		NA				
Cargo Ship Safety Construction Certificate	SC	TS						
		FS		NA				
Cargo Ship Safety Equipment Certificate	SE	TS						
		FS		NA				
Cargo Ship Safety Radio Certificate	SR	TS						
		FS		NA				
ISM Code Certification	ISM	TS						
		FS		NA				
Load Line Certificate	LL	TS						
		FS		NA				
Oil Pollution Prevention Certificate	OPP	TS						
		FS		NA				
IBC/BCH Code (NLS) Certification	IBC	TS						
		FS		NA				
IGC/GC	IGC	TS						

Certification		FS		NA				
Tonnage Certificate	TON	TS						
		FS		NA				
HSC Code Certificate	HSC	TS						
		FS		NA				
Special Purpose Prevention Certificate	SPP	TS						
		FS		NA				
Air Pollution Prevention Certificate	APP	TS						
		FS		NA				
Energy Efficiency Certificate	EEC	TS						
		FS		NA				
Anti-fouling System Certificate	AFS	TS						
		FS		NA				
Document of Compliance	IMSBC	TS						
		FS		NA				
Maritime Labour Certificate	MLC	TS						
		FS		NA				
Document of Compliance for Carrying Dangerous Goods	DG	TS						
		FS		NA				
Marital/Equipment	ME	FS		NA				

TS: Technical Appraisal and Support staff FS: Field Surveyors *: also refer to item V

V.

Personnel Resources, Training included (4.2 of Ro Cade)

Abb.	Kind of Staff	Kind of Training	Examinations/Tests/Qualification /Assessment/qualification Maintenance (A 1.5 ~ A 1.8 of RO Code)	Activity Monitoring (A 1.9 of RO Code)	Condition of Evidences	N/C or O/B
PS	Plan Approval Staff	Theoretical				
	Survey Staff	Practical				
		Theoretical				

	Control of changes)			
2.	Input Conditions	NA		
3.	Output Conditions	NA		
4.	Verification Conditions	NA		

VII.

Miscellaneous

	Items to be audited	QMS Documents	Conditions of Evidences	N/C or O/B
1.	Control of Documents			
2.	Control of Records			
3.	Work Environment			
4.	Property of Client			
5.	Control of monitoring and measuring devices, if any			
6.	Complaints			
7.	Appeals			
8.	Internal Audit			
9.	Monitoring and Measurement of processes			
10.	Control, Monitoring and Measurement of N/C			
11.	Improvement of QMS			

主導稽核員, Lead Auditor

稽核員, Auditor

稽核員, Auditor



稽查開場與閉幕會議出席記錄
AUDIT OPENING & CLOSING MEETING
ATTENDANCE RECORD

以下為交通部與中國驗船中心代表參予開場會議/閉幕會議：

The following representatives of MOTC & CR Classification Society were in attendance at the opening/ closing meetings as indicated below:

單位： _____ 地點： _____ 日期： _____
Organization: _____ Location: _____ Date: _____

主任稽查員： _____ 稽查員： _____
Lead Auditor: _____ Auditors: _____

開場會議時間： _____ 日期： _____
Opening Meeting Times: _____ Date: _____

閉幕會議時間： _____ 日期： _____
Closing Meeting Times: _____ Date: _____

觀察員 Observer					
No.	職 位 Rank	姓 名/簽名 Name/ Signature	No.	職 位 Rank	姓 名/簽名 Name/ Signature
1.			5.		
2.			6.		
3.			7.		
4.			8.		
受稽人員 Auditee					
No.	職 位 Rank	姓 名/簽名 Name/ Signature	No.	職 位 Rank	姓 名/簽名 Name/ Signature
1.			9.		
2.			10.		
3.			11.		
4.			12.		
5.			13.		
6.			14.		
7.			15.		
8.			16.		
備註： Remarks:					

Page:



符合證明文件 EVIDENCE OF CONFORMITY

依據交通部航港局驗船機構技術稽核作業指導書簽發

issued in accordance with the MPB(MOTC) Technical Audit Instructions for Instructions

Organization

茲證明中國驗船中心及其分支機構之品質管理制度

THIS IS TO CERTIFY THAT THE QUALITY MANAGEMENT SYSTEM OF CR CLASSIFICATION SOCIETY

所進行之入級與法定檢驗業經稽核，該中心符合驗船機構章程，同意下列法定服務
and those of its subsidiaries that perform classification and statutory surveys has been audited and
that it complies with the requirements of the Code for Recognized Organizations. The following
statutory services are agreed. (適用者在空格打“X”，Entry in the boxes shall be made by inserting across(x) if applicable)

- | | |
|--|---|
| ☐ 貨船安全構造證書 Cargo Ship Safety Construction Certificate | ☐ 防止油污染證書 Oil Pollution Prevention Certificate |
| ☐ 貨船安全設備證書 Cargo Ship Safety Equipment Certificate | ☐ 防止污水污染證書 Sewage Pollution Prevention Certificate |
| ☐ 貨船安全無線電證書 Cargo Ship Safety Radio Certificate | ☐ 防止空氣污染證書 Air Pollution Prevention Certificate |
| ☐ ISM 符合文件 Document of Compliance for ISM Code | ☐ 能源效率證書 Energy Efficiency Certificate |
| ☐ ISM 安全管理證書 Safety Management Certificate for ISM Code | ☐ 載重線證書 Load Line Certificate |
| ☐ ISPS 章程船舶保全證書 Ship Security Certificate for ISPS Code | ☐ 防污系統證書 Anti-fouling System Certificate |
| ☐ 客船安全證書 Passenger Ship Safety Certificate | ☐ 噸位證書 Tonnage Certificate |
| ☐ IBC 章程/NLS 發證 IBC Code /NLS Certification | ☐ 海事勞工證書 Maritime Labour Certificate |
| ☐ 特種船舶安全證書 Special Purpose Ship Safety Certificate | ☐ INF 章程發證 INF Code Certification |
| ☐ 高速船安全證書 High-speed Craft Safety Certificate | ☐ MODU 章程發證 MODU Code Certification |
| ☐ IGC 章程發證 IGC Code Certification | ☐ IMSBC 章程符合文件 Document of Compliance for IMSBC |
| ☐ 載運危險品符合文件 Document of Compliance for Carrying Dangerous Goods | ☐ 防止垃圾污染符合文件 Document of Compliance (Garbage Pollution Prevention) |

本符合證明文件有效期限限制至

This Evidence of Conformity is valid until

及需要時之追加稽核。

and additional audit, if necessary.

本證明文件所根據之稽核完成日期

Completion date of the audit which this Certificate is based

簽發地點

Issued at

簽發日期

Date of issue

，惟需接受二年一次稽核

， subject to biennial audit,

交通部航港局局長

Director of MPB, MOTC

二年一次稽核之簽證

ENDORSEMENT FOR BIENNIAL AUDIT

茲證明該中心之品質管理制度，依據交通部驗船機構稽核作業指導書實施二年一次稽核，符合驗船機構章程之要求

THIS IS TO CERTIFY that the biennial audit according to the MOTC Technical Audit Guidelines for Instructions Organization, the Quality Management System was found to comply with the requirements of the RO Code

二年一次稽核
BIENNIAL AUDIT

簽署

Signed :

主導稽核員, Lead Auditor

地點

Place :

日期

Date :

二年一次稽核
BIENNIAL AUDIT

簽署

Signed :

主導稽核員, Lead Auditor

地點

Place :

日期

Date :

追加稽核之簽證

ENDORSEMENT FOR ADDITIONAL AUDIT

茲證明該中心之品質管理制度，依據交通部驗船機構稽核作業指導書實施追加稽核，符合驗船機構章程之要求

THIS IS TO CERTIFY that the additional audit according to the MOTC Technical Audit Guidelines for Instructions Organization, the Quality Management System was found to comply with the requirements of the RO Code

追加稽核
ADDITIONAL AUDIT

簽署

Signed :

主導稽核員, Lead Auditor

地點

Place :

日期

Date :

追加稽核
ADDITIONAL AUDIT

簽署

Signed :

主導稽核員, Lead Auditor

地點

Place :

日期

Date :

