

Checklist for Company Safety Management System

IMO Company ID. No.: _____	Number of relevant employees who carry out or have responsibility to the SMS of the Company ashore. _____	
Company Name: _____	Type of Audit _____	Record No. _____
Company Address: _____	Country: _____	
Designated Person(s): _____	Tel.: _____	Fax: _____
Date of Audit: _____	Name of Auditor(s): _____	E-mail: _____
Title & Latest Revision Date of Manual: _____	Website: _____	

Note:

(1) This Checklist indicates items to be included at least in the samples at self checking.

(2) In principle, the verification over the Company's implementation of SMS should be made comprehensively for the past one year. However, in the Renewal, the verification over the Company's implementation of SMS should be extended to include the reports issued by the external audits, PSC or marine casualties, and the company's investigation and analysis conducted in response to them, for the past five years.

(1) Items to be checked prior to audit

Items to be checked	CHK	Remarks
1-1 Changes of ships under management		As for new acquisition, a copy of owner's report to the Administration as required in ISM Code 3.1 to be available.
If there are any SMC of ships left from the Company's management, auditor should demand the return of the same to RO for "Termination of ISM registration"		
1-2 Changes in Company's name/address		If Additional Audit has not yet started, an Additional audit for changes shall be applied to the RO.
1-3 Confirmation of ship types covered by DOC		If any ship type no longer exists under management for more than 1 year, rewrite of DOC shall be requested at next Audit.
1-4 Confirmation of ship flags covered by DOC		If no ship under management, remains with any Flag, the DOC of same Flag shall be returned at next Audit.
1-5 Confirmation of reporting to Flag States		A copy of owner's report to the Administration as required in ISM Code 3.1 to be confirmed, for every ship.

(2) Items to be confirmed prior to audit

Type of ship*	Flag & number of ships under management	Type of ship*	Flag & number of ships under management
Oil Tanker		Bulk Carrier *	
Chemical Tanker		Other Cargo Ship	
Gas Carrier		Passenger Ship	
* Refer to SOLAS IX/1			
Active Crew nationality			
Masters		Chief Engineers	
Deck Officers		Engineers	
Deck Ratings		Engine Ratings	
Radio Operators		Cooks	
Language	Manual, Procedures and Instructions	Working Language Onboard	

Notice: The parts of checklist which are not used during audit should be deleted by lines appropriate according to the audit scope.

(3) Interview with Top Management - President/Chief Executive Officer

<i>Items to be asked during interview</i>		<i>Chk</i>	<i>Code</i>	<i>Remarks</i>
3-1	Have you noticed any benefits since your company has introduced its SMS?		12.3	
3-2	What opinion do you have regarding SMS activities of all personnel involved?		12.3	
3-3	What matters has D. P. A. reported to you recently regarding SMS?		4	
3-4	How do you think about Key points of Management Review?		12.3	
3-5	What do you think about Casualties of late years in the world?		-	

(4) Responsibility of Designated Person Ashore (D. P.A.)

<i>Items to be checked</i>		<i>Chk</i>	<i>Code</i>	<i>Remarks</i>
4	Is D.P.A. monitoring the safety and pollution-prevention aspects of the operation of each ship and ensuring that adequate resources and shore-based support are given as needed?		4	The judgement shall be made taking into consideration of the following items.
4-1	How often do you or nominated personnel on your behalf visit your ships?		4	
4-2	Can all Masters identify you as the DPA and that you are the specific person in charge of SMS?		4	
4-3	What matters did you report to top management? (What matter recently?)		4	<input type="checkbox"/> Regular Reports <input type="checkbox"/> Occasional Reports

(5) System Review

<i>Items to be checked</i>		<i>Chk</i>	<i>Code</i>	<i>Remarks</i>
5	Is the company periodically evaluating the effectiveness of SMS and, when needed, reviewing the SMS in accordance with procedures established by the company?		12.3	The judgement shall be made taking into consideration of the following items.
5-1	Confirm if proper revisions on the SMS Policy, Manuals and Procedures, since the last audit have been made, on the basis of company's explanations with reasons on the revised parts.		12.3	Typical Reasons of Revision <input type="checkbox"/> Organization, <input type="checkbox"/> Rule/Regulation, <input type="checkbox"/> Internal/External Audit, <input type="checkbox"/> Non-conformity/Deficiency for SMS offered by Staff/Master, <input type="checkbox"/> PSC Inspection, <input type="checkbox"/> Accident, <input type="checkbox"/> Casualty; <input type="checkbox"/> SOLAS V/28 – Retention of Daily Report
-a	Have the revisions of mandatory rules, such as IMO conventions, been taken into SMS?		1.2.3.1	
-b	Are the revisions approved by responsible person, according to the procedures?		11.2.2	
5-2	Following items, as functional requirements of SMS, shall be verified.			
-a	Is the Safety & Environmental-protection Policy clearly shown?		2.1	<input type="checkbox"/> Signature of the Top management <input type="checkbox"/> Latest revision date _____
-b	Are the objectives of SMS clearly stated in the SMS?		1.2	<input type="checkbox"/> Continuously improve safety management-skills <input type="checkbox"/> Mandatory rules
-c	Risk Assessment		1.2	
-c(1)	Are there procedures for risk assessment in SMS?			Element of the procedure <input type="checkbox"/> identification of the risk <input type="checkbox"/> assessment of the risk <input type="checkbox"/> establishment of safeguard against the risk

<i>Items to be checked</i>		<i>Chk</i>	<i>Code</i>	<i>Remarks</i>
-c(2)	What is the scope of risk assessment in vessel?			<input type="checkbox"/> shipboard operations <input type="checkbox"/> emergency preparedness <input type="checkbox"/> maintenance of the ship and equipment <input type="checkbox"/> Others () IMSBC Code 3.1.2 <input type="checkbox"/> Fire safety risk assessment-Cargo handling areas on self-unloading bulk carriers featuring internally installed conveyor systems within the ship's structure. <input type="checkbox"/> Have you procedures for fire safety risk assessment in SMS? <input type="checkbox"/> Identification of the fire safety risk under all anticipated operating conditions and cargoes <input type="checkbox"/> Establishment of safeguard with due consideration for fire prevention and the effective operation of fire detection systems, containment and suppression against the fire safety risk <input type="checkbox"/> Hot work near conveyor system <input type="checkbox"/> Conveyor systems (Maintenance of rotor bearing and shaft) <input type="checkbox"/> Operating conditions and cargo <input type="checkbox"/> Fire-Extinguishing system (Fire Detecting Alarm System etc.)
-c(3)	Who has the responsibility to the implementation of risk assessment?			<input type="checkbox"/> company () <input type="checkbox"/> ship ()
-c(4)	Are identified risks to ships, personnel and the environment assessed and reviewed at the meetings?			
-c(5)	Are there any safeguards newly established on the results of the management review?			<input type="checkbox"/> safeguard newly established () <input type="checkbox"/> It is judged no new safeguard is needed
-d	Are the procedures of reviewing SMS by the master and reporting its deficiencies to the shore-based management stated in the SMS?		5.1.5	<input type="checkbox"/> Is the timing of reporting clearly specified?
-e	Are the procedures of reporting accidents and NC to the SMS stated in the SMS?		9.1	<input type="checkbox"/> Is the definition of NC clearly specified?
5-3	Following items shall be verified on the basis of records of system reviews.	/	/	
-a	Are system review meetings held by the company, at least once a year?		12.3	
-b	Are necessities of revisions of the SMS discussed at the meetings?			
-c	Are the results of system reviews brought to all Departments and Ships?		12.6	
-d	Are performances and appraisals of manning agencies and training needs for seafarers (Masters & Crew) discussed at the meetings?		12.2	
-e	Are detentions & deficiencies by PSC and NC & OBS at Internal/External Audits discussed at the meetings?			
-f	Are the results of Master's SMS reviews and reported deficiencies/failure reports discussed at the meetings?		12.3	
-g	Are countermeasures, and revisions of SMS if necessary, for accidents, casualties and sickness & death occurred on ships managed by either the company or others discussed at the meetings?			
5-4	Non Conformities were raised at past External Audits of Ship/Company and Internal Audits.	/	/	In the Renewal Audit, this verification should be extended over the past 5 years.
-a	Verification of investigation & analysis on Non Conformities			
-b	Verification of investigation & analysis on PSC detention, marine casualty		12	

(6) Internal Audit

Items to be checked		Chk	Code	Remarks
6	Is the company carrying out internal safety audits to verify whether safety and pollution-prevention activities comply with the SMS?		12.1	The judgement shall be made taking into consideration of the following items.
6-1	Implementation of Internal Audits shall be verified on the basis of its plans.	/	/	
-a	Are Internal Audits for all departments and ships planed at intervals not exceeding twelve months?		12.1	
-b	Are procedure and <i>criteria</i> to extend internal audit within three months under exceptional circumstances established in SMS?		12.1 12.4	If there is the vessel flying the flag of Bahamas, Marshall Island and Panama under management, reference to be made for flag special requirement in Appendix II
-c	Are all Internal Audits conducted within twelve months from previous date of audit?		12.1	If "No" go to 6-1-d
-d	Are extension of Internal Audits conducted as per SMS Manual/Procedures?		12.1 12.4	<input type="checkbox"/> N/A
6-2	Following items shall be verified on the basis of Internal Audit Reports.	/	/	
-a	Are Internal Audits carried out as per SMS Manual/Procedures?		12.4	<input type="checkbox"/> Assignment of Internal Auditor(s) <input type="checkbox"/> Notification of Internal Audit <input type="checkbox"/> Checklists
-b	Are corrective action requests and corrections for NCs, and verification of its effectiveness carried out in order?		12.7	
-c	Are results of Internal Audits reported to Top Management as per Procedures?		12.4	If any comments of Top Management or Designated Person(s) could not be found, NC may be raised relating to the ISM Code 12.3.
-d	Are results of Internal Audits brought to all Departments and Ships?		12.6	
6-3	Checklists for Company Internal Audit shall include following items.	/	/	points of Checklist; in detail
-a	State of records prepared by office and records from Ships.			
-b	State of management of controlled documents and legal/statutory publications (incl. abolition).			
-c	Response to requisitions from Masters of ships.			
-d	Response to Trouble/Failure reports from Masters of ships.		12.1	
-e	Performances of Manning Agencies and control of Seamen's Certificates.			
-f	Pre-joining training, Essential Instructions and Training needs.			
-g	Joint Exercises for Emergency and Evaluation for them.		12.1	
6-4	Checklists for Shipboard Internal Audit shall include following items.	/	/	
-a	Official (Deck) Log Book Entry.			SOLAS, Chapter III, Reg.19, 5 "Records" <input type="checkbox"/> Abandon ship drills <input type="checkbox"/> Fire drills <input type="checkbox"/> Enclosed space entry and rescue drills <input type="checkbox"/> Other life-saving appliances <input type="checkbox"/> Onboard training
-b	Motivation of crewmembers for company's SMS by Master.			
-c	Placards to be posted up, such as Master's standing order and so on.			<input type="checkbox"/> Master's order <input type="checkbox"/> Watch schedule <input type="checkbox"/> Muster Lists <input type="checkbox"/> Garbage control <input type="checkbox"/> Smoking regulation
-d	Verification by Master on Voyage & Passage plan and Chart correction.			STCW Code, Part A, Section A-VIII/2, Part 2 "Voyage Planning"
-e	Confirm ECDIS handling procedure in SMS how to update ENC's		12.1	C/E shall, in consultation with Master, determine the needs of the intended -
-f	Master's review on the SMS and reporting its deficiencies.			<input type="checkbox"/> Master's judgement on effect of SMS & his proposal to improve the SMS & <input type="checkbox"/> Reporting to the company of any SMS deficiency have been made regularly?
-g	Master's awareness on the SMS			
-h	Familiarization training & Essential instructions for newly joined crew.			STCW Code, Part A, Section A-VI/1 & Section A-I/14 <input type="checkbox"/> Elementary training (A-VI/1-1) <input type="checkbox"/> Specific training (A-I/14-2)
-i	Training needs on operation & maintenance of hull, machinery & equipment.			

<i>Items to be checked</i>		<i>Chk</i>	<i>Code</i>	<i>Remarks</i>
-j	Crewmembers' awareness on the SMS, incl. languages and education.			
-k	Performance of crewmembers; communication, behavior & activity.			<input type="checkbox"/> Appraisal records
-l	Deck & Engine Log Book as per Manual/Procedures			<input type="checkbox"/> Especially special operation, etc.
-m	Garbage Record Book			<input type="checkbox"/> Evidence of plastics disposal ashore
-n	Drills, Training & Instructions onboard			<input type="checkbox"/> Yearly Plan
-o	Training onboard for Emergency Situations specified by the Company			<input type="checkbox"/> Collision <input type="checkbox"/> Grounding <input type="checkbox"/> Oil pollution(SOPEP) <input type="checkbox"/> Flooding <input type="checkbox"/> M/E failure <input type="checkbox"/> Blackout
-p	Drills, Training and Instructions onboard required by SOLAS			SOLAS, Chapter III, Reg.19(Emergency training & drills), Chapter V, Reg.26 (Steering Gear)
-q	Launching record for Life/Rescue boat(s)			Chapter III, Reg.19, 3.3.3 (at least once every three months)
-r	Detentions/Deficiencies by PSC and NC/OBS at External Audits.			
-s	Progress monitoring & reporting of Planned Maintenance			
-t	Corrections and preventive measures to Trouble/Failure Reports			
-u	Management of Controlled Documents and Legal Books & Publications			<input type="checkbox"/> Controlled Documents <input type="checkbox"/> Legal/Statutory Books <input type="checkbox"/> Publications <input type="checkbox"/> Latest Edition
-v	Management of Incoming/Outgoing letters			<input type="checkbox"/> Incoming letters <input type="checkbox"/> Outgoing letters
-w	Management of controlled records			<input type="checkbox"/> Records kept onboard <input type="checkbox"/> Reports to Company
6-5	Periodical verification to all those undertaking delegated ISM-related tasks			<input type="checkbox"/> Manning Agencies <input type="checkbox"/> maintenance <input type="checkbox"/> Internal Auditor(s) <input type="checkbox"/> other () <input type="checkbox"/> N/A
-a	Are there procedures of periodically verifying whether all those undertaking delegated ISM-related tasks are acting in conformity with the Company's responsibilities under the Code?		12.2	
-b	Are the periodical verifications planned to carry out, at least once a year?		12.2	<i>Notice: Resolution MSC.353(92) the amendments to ISM Code entered into force on 1 January 2015. (ISM Code 6.2, and 12.2 to 12.7)</i>
-c	Are the Periodical verifications carried out as per SMS Manual/Procedures?			

(7) Shipboard Operation, Specific Items for Ship Types & Flag States

<i>Items to be interviewed</i>		<i>Chk</i>	<i>Code</i>	<i>Remarks</i>
7	Are plans and instructions, including checklist as appropriate, for key shipboard operations concerning the safety of the ship and the prevention of pollution established and maintained?		7	The judgement shall be made taking into consideration of the following items.
7-1	Confirmation of Procedures & checklists			
-a	Are procedures & Checklists for key shipboard operations maintained properly?		7	<input type="checkbox"/> Enter/leaving port <input type="checkbox"/> Watch (at sea/in port) <input type="checkbox"/> Chart correction <input type="checkbox"/> Cargo Handling <input type="checkbox"/> Dangerous work <input type="checkbox"/> Pollution prevention
-b	Have you procedures for handling cargoes other than specified in existing procedures?			<input type="checkbox"/> Ask the company's assistance <input type="checkbox"/> Pre-notice from the company
7-2	Supporting the shipboard Operation			
-a	Confirm how to supply Notice to Mariners and Charts.		6.1.3	<input type="checkbox"/> Direct from company. <input type="checkbox"/> Is the company confirming the direct sending by Chandler? <input type="checkbox"/> Is any procedure available in urgent cases?
-b	What kind of official letters have you issued to provide the ships with necessary information?			<input type="checkbox"/> Guideline for Voyage Planning IMO Res. A.893(21) <input type="checkbox"/> Ballast Water Management <input type="checkbox"/> Piracy Information <input type="checkbox"/> PSC Information
-c	Has any Master ever made use of his <i>overriding authority</i> actually?		5.2	<input type="checkbox"/> Assistance from the Company <input type="checkbox"/> Investigation by the Company and revision of SMS, when necessary.

<i>Items to be interviewed</i>		<i>Chk</i>	<i>Code</i>	<i>Remarks</i>
7-3	Specific Items for Ship Types	/	/	Refer to Appendix I
-a	Specific Items for all ship types shall be verified.		7	
7-4	Specific Items for Flag States	/	/	
-a	Are the Rules and Circulars of every Flag available in the office and onboard each ship?		1.2.3.1	Refer to Appendix II
-b	Compliance with requirements specific Flag State shall be confirmed.			

(8) Emergency Preparedness

<i>Items to be interviewed</i>		<i>Chk</i>	<i>Code</i>	<i>Remarks</i>
8	Has the company identified and described the potential emergency shipboard situations and established procedures to respond to them? Are programmes for drills and exercises to prepare for emergency actions established? Can the company's organization respond at any time to them?		8	The judgement shall be made taking into consideration of the following items.
8-1	Identification and Response procedures for potential Emergency Situations	/	/	
-a	Have emergency situations identified by the company been reviewed?		8.1	<input type="checkbox"/> Actual Casualties? <input type="checkbox"/> Piracy
-b	Is a yearly plan for joint exercises and shipboard drills prepared?		8.2	<input type="checkbox"/> Joint exercise at least once a year <input type="checkbox"/> Different type of emergency every year
-c	Is "Emergency Contact List" updated?		8.3	<input type="checkbox"/> Latest revision date _____
-d	Is emergency contact to the company always available?			<input type="checkbox"/> How many phones _____ <input type="checkbox"/> How many Fax _____ <input type="checkbox"/> Exclusive use <input type="checkbox"/> How they cope with the situation, when all phones are busy?
-e	Are emergency reporting procedures (1st and subsequent detail reports) clearly specified?		8.1	
-f	How emergency response team been dealt with in case of prolonged situations?		8.3	If there is the vessel flying the flag of Japan under management, reference to be made for flag special requirement in Appendix II
-g	Is Emergency Towing Booklet prepared in the Company for emergency preparedness? N/A <input type="checkbox"/>			
8-2	Verification on Joint Exercises on the basis of exercises reports/records	/	/	
-a	Was the emergency response team actually mobilized?		8.2	
-b	Was a scenario for the joint exercises prepared?			
-c	Are the last exercise's evaluation reflected in the recent exercise?			
-d	Were ship's drawings, nautical charts, exclusive phone, etc actually prepared?			
-e	Were outside organizations actually involved?			
-f	Were the exercises performed during office hours?			
-g	Were the results of the exercise evaluated by the Company & the Master?			<input type="checkbox"/> Confirm the Master's evaluation.
-h	Are any points to be improved in emergency respond procedures found?			<input type="checkbox"/> Is the procedures revised, when it is necessary?
-i	Were all activities of exercise, from beginning to closing out, recorded?			
8-3	Verification of onboard Drills and Training on the basis of their reports/records	/	/	
-a	Were onboard drills & training executed as per SOLAS requirements?		8.2	<input type="checkbox"/> SOLAS, Chapter III, Reg.19 "Emergency training and drills" <input type="checkbox"/> SOLAS, Chapter V, Reg.26 "Steering gear: Testing and drills"
-b	Is the duration of the drill reasonable?			
-c	Are the extinguishers used at Fire drills suitable to target locations?			<input type="checkbox"/> Electric <input type="checkbox"/> Oil <input type="checkbox"/> Others
-d	Are onboard Drills, Training and Instruction for emergency situations executed as per procedures?			Those specified in the SMS: <input type="checkbox"/> Collision <input type="checkbox"/> Grounding <input type="checkbox"/> Oil pollution (SOPEP) <input type="checkbox"/> Flooding <input type="checkbox"/> Emergency Towing <input type="checkbox"/> Recovery persons from the water , etc.
-e	Was a scenario for the onboard emergency exercise prepared?			
-f	Were the results of Drills and Training evaluated by Master?			

(9) Non-conformities, Deficiencies, Accidents & Hazardous Occurrences

Items to be interviewed		Chk	Code	Remarks
9	Does the company ensure that non-conformities, accidents and hazardous situations are reported to the company, investigated and analysed with the objective on improving safety and pollution prevention, and necessary corrective actions are taken?		9	The judgement shall be made taking into consideration of the following items.
9-1	Reporting of Non-conformity(Deficiency) and Measures to address them	/	/	<input type="checkbox"/> Deficiency Report <input type="checkbox"/> Non-conformity Report <input type="checkbox"/> Free Form <input type="checkbox"/> Experience Report <input type="checkbox"/> Minutes of Ship Meeting <input type="checkbox"/> Failure Report
-a	Are definitions of Non-conformity (Deficiency) clearly specified in the SMS?		9.1	<input type="checkbox"/> Non-conformity: SMS Problem <input type="checkbox"/> Deficiency: Problem of Hard ware <input type="checkbox"/> Failure Report found, although they call everything as deficiency.
-b	Are deficiencies at PSC inspections reported to the company?			<input type="checkbox"/> What Form to be used?
-c	Are NCs and OBSs raised at external audits reported to the company?			<input type="checkbox"/> What Form to be used?
-d	Are incompetent crew and claim from outside party reported to the company?			<input type="checkbox"/> What Form to be used?
-e	Is there no lack of PSC Records kept by the company, comparing with PSC history obtained through information to auditor?			
-f	Do reports to the company contain proposed corrective actions?			
-g	Are these reports investigated and analyzed by the company?		9.2	
-h	Have these matters, together with preventive measures, been brought to the attention of other ships concerned?			
9-2	Reporting of Casualties, Accidents & Incidents and Measures to address them	/	/	
-a	Is there any casualty or accident? Is this reported to company, if any?		9.1	<input type="checkbox"/> What Form to be used?
-b	Have these reports been investigated and analyzed by the company?		9.2	
-c	Have these matters been brought to the attention of other ships concerned?			
9-3	Reporting of Hazardous Occurrence (Near miss) and Measures to address them	/	/	
-a	Are hazardous occurrences (Near miss) reported to the company?		9.1	<input type="checkbox"/> What Form to be used?
-b	Are these reports investigated and analyzed by the company?		9.2	
-c	Have these matters, together with preventive measures, been brought to the attention of other ships concerned?			

(10) Maintenance

Items to be interviewed		Chk	Code	Remarks
10	Does the company ensure that the ship is maintained in conformity with the provisions of the relevant rules and regulations and with any additional requirements, which may be established by the company?		10	The judgement shall be made taking into consideration of the following items.
10-1	Confirmation of Certificates & Survey Records	/	/	The Statutory and Class Certificates, and the Statutory and Class survey records of at least one ship for each ship type shall be verified, irrespective of classifications.
-a	Are the validity of certificates and survey arrangements properly managed?		10.1	
10-2	Planned Maintenance	/	/	Typical Reasons for Revisions of maintenance Standards and Plans <input type="checkbox"/> Master's Report, <input type="checkbox"/> RO's Survey, <input type="checkbox"/> RO's Audit <input type="checkbox"/> PSC <input type="checkbox"/> Company's Analysis
-a	Are the planned maintenance items and their intervals in order?		10.2.1	<input type="checkbox"/> Auditor should verify that Company has the technical standards for maintenance to hull structures, machineries and equipment, including the mechanical damages, corrosion/wastage and rust to them for repair
-b	Are revisions of maintenance standards and maintenance plan in order?			
-c	Are the progress monitoring of planned maintenance executed properly?			
10-3	Support from Ashore	/	/	
-a	Is person in charge responding to failure reports from ship immediately?		10.2.3	
-b	Are possible causes described in the failure reports?		10.2.2	

<i>Items to be interviewed</i>		<i>Chk</i>	<i>Code</i>	<i>Remarks</i>
-c	Are appropriate corrective actions for the failure reports taken?		10.2.3	
-d	Are necessary information, such as revisions of convention and technical notices from makers, provided to ships under management?		6.1.3	<input type="checkbox"/> Revisions of Conventions (Information from ROs, etc.) <input type="checkbox"/> Technical Information from Makers
10-4	Critical Equipment and Systems	/	/	Critical Equipment and Systems means those sudden operational failure of which may results in hazardous situations.
-a	Are specific measures aimed at promoting the reliability of critical equipment and systems provided?		10.3	
-b	Are the regular testing of stand-by arrangements and equipment or technical systems that are not in continuous use included?			

(11) Documentation

<i>Items to be checked</i>		<i>Chk</i>	<i>Code</i>	<i>Remarks</i>
11	Has the company established and maintained procedures to control all documents and data which are relevant to the SMS?		11	The judgement shall be made taking into consideration of the following items.
11-1	Management of Controlled documents	/	/	
-a	Are the revisions of Manuals & procedures executed as per procedures?		11.2.2	<input type="checkbox"/> Prepared by whom <input type="checkbox"/> Assessed and Approved by Responsible Person
-b	Are the distributions of revised documents executed as per procedures?		11.2.1	<input type="checkbox"/> Distribution list <input type="checkbox"/> Confirmation of Receipt
-c	Are the obsolete documents removed as per procedures?		11.2.3	<input type="checkbox"/> Confirmation of Removal
11-2	Management of Legal/Statutory books and Publications	/	/	
-a	Is a list of books & publications to be placed in office and on board available?		11.2.1	<input type="checkbox"/> International Conventions <input type="checkbox"/> Rules & Circulars of Flag States
-b	Is confirmation of updated editions executed as per procedures?			<input type="checkbox"/> At Internal Audits <input type="checkbox"/> By Regular Review
11-3	Management of Official letters and Correspondences	/	/	
-a	Are official letters and correspondences of the company controlled properly as per procedures?			<input type="checkbox"/> Official Letters <input type="checkbox"/> Regular Reports <input type="checkbox"/> Internal Correspondences
-b	Are letters and documents from outside of the company controlled properly as per procedures?		11.2.1	<input type="checkbox"/> Flag States / Port States <input type="checkbox"/> Owners / Charterers <input type="checkbox"/> Makers, etc.
11-4	Are up-to-date as Built Construction Drawings available in the office for every ships managed by the company?			If the same are not available for ships constructed on or after 1 Jan. 2007, NC should be raised. (Mandatory requirement of SOLAS II-1/3.7)

(12) Manning

<i>Items to be interviewed</i>		<i>Chk</i>	<i>Code</i>	<i>Remarks</i>
12	Does the company ensure that each ship is manned with qualified, certificated and medically fit seafarers in accordance with national and international requirements, and necessary education and training are provided to all personnel concerned?		6	The judgement shall be made taking into consideration of the following items.
	Does the company ensure that each ship is appropriately manned in order to encompass all aspects of maintaining safe operation on board?			
12-1	Certificates & Medical fitness, etc.	/	/	
-a	Is a copy of Minimum Safe Manning Certificate of every ship available?		6.2.2	Verification shall be done, by sampling method, at least one ship for each Flag State.
-b	Are copies of Certificates of competency for Masters & officers available?			
-c	Are copies of Certificates of proficiency, required by STCW, for rating crew available?		6.2.1	
-d	How has the person in charge checked the authenticity of certificates?			
-e	Are the personnel data, incl. copies of valid Medical certificates, of all crew in service available?			

<i>Items to be interviewed</i>		<i>Chk</i>	<i>Code</i>	<i>Remarks</i>
12-2	Assignment and Evaluation of Masters	/	/	
-a	Who is responsible for assigning the Masters, and what is the procedure for such assignment?		6.1.1	<input type="checkbox"/> Pre-joining training for the Master <input type="checkbox"/> Briefing at the company
-b	Who is responsible for assessing the Master's familiarity with SMS, and what is the procedure for such assessment?		6.1.2	<input type="checkbox"/> Who shall finally decide, when trained at Manning Agency?
-c	Who is responsible to appraise the Master's abilities and performances, and what is the procedures for such appraisal?		6.1.1	
12-3	Appraisal and Training of Seafarer	/	/	<input type="checkbox"/> Pre-joining training <input type="checkbox"/> Essential Instructions
-a	Are Familiarization Training for newly joined/transferred crew executed properly?		6.3	<input type="checkbox"/> Written Instructions to Master (STCW, Section A-I/14, 2) <input type="checkbox"/> Records of Elementary and Specific Familiarization training
-b	Are the refresh training for seafarers, incl. reserve crew, executed properly?		6.4 6.5	<input type="checkbox"/> Training Needs <input type="checkbox"/> Mandatory rules and regulations <input type="checkbox"/> Applicable codes, guidelines and standards recommended by IMO, etc.
-c	How the case is dealt with, when some crew cannot read manual/procedures?		6.6	<input type="checkbox"/> Translation for needed portions <input type="checkbox"/> Translation by Ship's officers
-d	How the case is dealt with, when multi-national crew are onboard?		6.7	<input type="checkbox"/> Multi-languages Muster list, Placards and so on.
-e	Are procedures to prevent re-employment of incompetent crew established?		6.2.1	<input type="checkbox"/> Assessment of language abilities prior to employment
12-4	Are there procedures to appropriately man in order to encompass all aspects of maintaining safe operation on board ?		6.2.2	<i>Notice: Resolution MSC.353(92) the amendments to ISM Code entered into force on 1 January 2015. (ISM Code 6.2, and 12.2 to 12.7)</i>
12-5	Evaluation of Manning Agent(s)	/	/	
-a	What training materials for crew are given to the manning agencies?		6.2.1	<input type="checkbox"/> Company's Policies <input type="checkbox"/> SMS Manuals & Procedures <input type="checkbox"/> Others
-b	Are the performance evaluations of them conducted regularly and properly?		12.2	If "No" go to 6-5

(13) Tour through the Office

<i>Items to be checked</i>		<i>Chk</i>	<i>Code</i>	<i>Remarks</i>
13-1	Are valid documents available at all relevant locations?		11.2.1	
13-2	Are copies of all valid ship trading certificates maintained properly?		10.1	
13-3	Are required legal/statutory books & publications, circulars and finished plans (incl. Instruction books) maintained properly?		11.2.1	
13-4	Are the ship maintenance records kept properly?		10.2.4	Docking repair records (incl. items to be repaired at next docking)

Appendix I: Additional Items by Ship Type: Following items shall be verified.

Ship Type	Items to be checked	Yes	No	N/A	Remarks
Oil Tanker	Is the ship provided with a calibration instrument for combustible gas indicators?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	SOLAS Chapter II-2, Reg.59/5
Chemical Tanker	Are tank-cleaning procedures for mainly intended cargo documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Bulk Carrier	Is the ship provided with the procedures for handling cargo, which may liquefy, if applicable?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Typical example of cargo, which may liquefy, is nickel concentrate.
	Are “cargo hold flooding scenarios” specified in SOLAS XII/9 including detailed instructions on evacuation preparedness given to the Master and brought into practice, if applicable?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Applicable to B/C constructed before 1 July 1999 of 150m in length, not being capable of complying with damage stability requirements under SOLAS XII/4.3. Pay attention to 4 hold ships.
	Are “Hatch Cover Maintenance Plans” in accordance with MSC 169 (79) incorporated into the SMS and implemented on board the relevant ships?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	If no, NC related to ISM Code 10.2 should be raised.

Appendix II: Additional Items by Flag State: Following items shall be verified.

Flag State	Items to be checked	Yes	No	N/A
Bahamas	The Bahamas Maritime Authority will consider exceptional applications for exceeding the twelve month interval between audits for shipboard audit only. Companies claiming to be unable to carry out internal audit within the 12 month period should apply to the RO for acceptance to carry out the audit outside the necessary time frame, and within three months of the due date. The acceptability of any exceptional circumstances must be considered by the RO before any recommendation is made to BMA, in accordance with our agreed procedures. In all cases there shall be not less than five internal audits of ship and office during the five year validity of certification.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	The Company should ensure that ECDIS ship specific equipment training process and record-keeping is documented in the ship’s SMS. Master shall ensure that all affected officers have documentary evidence of ECDIS training prior to be assigned their shipboard navigational duties.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Cyprus	Verify the emergency preparedness plans and schedule of ship to shore drills and judge the same satisfy the requirements, or not.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Verify the preventive maintenance procedures and Critical Equipment and judge the same satisfy the requirements, or not.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Verify the availability of essential plans, manuals and so on in the office and three years retainment of the relevant documents for vessels ceased to be operated by the Company and judge the same satisfy the requirements, or not.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Verify “Fire Control & Life Saving Appliances Plans” for all Cyprus Flag ships are available in the office, or not.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Verify “Ship’s Articles”, “Official Log Books (Bridge), issued and endorsed by the Government, have been supplied for all Cyprus Flag ships.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Japan	Item 12.1 of the ISM Code allows extending the interval of internal audits for not more than three months. In this regard, the internal audit just after the extended internal audit shall be conducted within 12 months from the original time frame.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Emergency Towing Booklet (ETB) prepared referring to the Guidelines MSC.1/Circ.1255 shall form part of the emergency preparedness required by para.8 of the ISM Code, and shall be confirmed during initial and periodical audits of DOC and SMC.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Japan	<p>“Plans and procedures for recovery persons from the water” developed taking into account the Guidelines MSC.1/Circ.1447 shall be provided on board at the following occasion.</p> <p>(1) New ships constructed (keel-laid) on or after 1 July 2014 : Initial safety equipment survey at new building</p> <p>(2) Existing ships constructed (keel-laid) before 1 July 2014 :</p> <p>By the first periodical or renewal safety equipment survey of the ship, whichever comes first after 1 July 2014</p> <p>Thereafter, the “Plans and procedures for recovery persons from the water” shall form part of the emergency preparedness required by para. 8 of the ISM Code, and shall be confirmed during initial and periodical audits of DOC and SMC.</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<i>Flag State</i>	<i>Items to be checked</i>	<i>Yes</i>	<i>No</i>	<i>N/A</i>
Marshall Island	The SMS must include guidance regarding under what operating situations the BNWAS should be operated in the different modes (automatic, on and off). For systems fitted with motion sensors to serve as the rest function, the SMS must include a procedure for the crew to check the system at least once a day to ensure it is operating correctly.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	All requests for an extension of the 12 month interval must be presented to the Administrator well in advance accompanied by documentation explaining why the internal audit cannot be conducted within the required timeframe. In all cases there shall be not less than five (5) internal audits of the Company or any ship during the five (5) years validity of certification.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Panama	The Administration requires to all Masters and/or Owners/Operators to report immediately to Port State Control Section, all PSC inspections reports. If the Company decides to channel all communications through the DPA, directory via the master or each individually will be a decision to the Company to be established in the ISM manual or procedures of the vessel. The correction of deficiencies shall be sent by the Masters, Operators/Owners using the format in appendix I of this Merchant Marine Circular No. 172 (Form F-JERP-02-01). (Merchant Marine Circular No. 172)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	With regard to deficiencies raised due to Annual Safety Inspections (ASI), it is required to report to Flag State Section e-mail marsegur@amp.gob.pa using the prescribed Form (F-IASI-01-01) within 30 days. This procedure shall be included in the ship's SMS Manual. (Merchant Marine Circular No. 201)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	In regard to exceptional circumstances under which the 12 months interval of the internal safety audits may be extended, it is the company who approves such extension. Therefore, the company should establish the <i>criteria</i> for the extension in the management system.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>