

INTERNATIONAL SAFETY MANAGEMENT (ISM) CODE

**CHECK LIST FOR:
INITIAL / RENEWAL / ADDITIONAL⁽¹⁾
VERIFICATION AUDIT
(FOR SHIP)**

Place: _____ Date _____
(Place of Issue of Check List) (Day, Month, Year)

Name of Ship:	
Name of Company:	
Address of Company:	
Distinctive Number or Letters:	
Port of Registry:	
Type of Ship:	
Gross Tonnage:	
IMO Number:	

⁽¹⁾ Delete as Appropriate

COMMENTS IN BOX: YES (X), NO(-), OR NOT APPLICABLE (NA)

No.	Questions	Ship		COMMENTS
		Yes	No	
SECTION 1. GENERAL				
1.	Has the Company implemented and maintained a Shipboard SMS within 3 months? (initial audit only)			
<i>ADDITIONAL COMMENTS:</i>				
SECTION 2. SAFETY AND ENVIRONMENTAL-PROTECTION POLICY				
2.	Are the crewmembers required to demonstrate their ability to define the Company's SMS policy?			
<i>ADDITIONAL COMMENTS:</i>				
SECTION 3. COMPANY RESPONSIBILITIES AND AUTHORITY				
3.	Is the Master aware of the Company for the ship concerned?			
<i>ADDITIONAL COMMENTS:</i>				
SECTION 4. DESIGNATED PERSON (S)				
4.	Does the Designated Person visit the ship and is there objective evidence of such visits?			
<i>ADDITIONAL COMMENTS:</i>				

COMMENTS IN BOX: YES (X), NO(-), OR NOT APPLICABLE (NA)

No.	Questions	Ship		COMMENTS
		Yes	No	
SECTION 5. MASTER'S RESPONSIBILITY AND AUTHORITY				
5.	Does the master pursue the Company's policy for ensuring safety and environmental protection in respect SMS implementation and maintenance with regard to this ship?			
6.	Does the master address the crew with explanations in order to motivate them observing the company's SMS policy?			
7.	Does the master regularly check compliance with the requirements established by the Company?			
8.	Does the master undertake periodical revisions of the SMS?			
9.	Are reports or recommendations drawn up on the basis of such revisions?			
10.	Is the efficiency of corrective actions verified, as undertaken on the basis of SMS revision?			
11.	Are orders and directions issued by senior officers?			
12.	Do the Master and shipboard officers use check-lists for assessing activities carried out by shipboard personnel?			
13.	Are there reports to confirm master's participation in analyzing the operation of the Company's SMS?			
ADDITIONAL COMMENTS:				
SECTION 6. RESOURCES AND PERSONNEL				
14.	Does the Master possess certificates confirming his qualification and previous experience in conformity with STCW Convention and requirements of the flag State?			
15.	Does the Master receive all the necessary support from the Company for coping with his duties?			
16.	Does the Company ensure that each ship is properly manned with qualified, certified and medically fit seafarers?			
17.	Are there procedures on board to ensure that new personnel and personnel transferred to new assignments are given proper familiarization on safety and environmental protection relevant to their duties?			
18.	Has the Company ensured that all shipboard personnel involved in the SMS are given familiarization with and have understanding of relevant codes, rules and regulations?			

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No.	Questions	Ship		COMMENTS
		Yes	No	
19.	Do the shipboard personnel receive relevant information on the SMS in a working language or languages understood by them?			
20.	Are crew members able to communicate effectively one to other during normal operations?			
21.	Are crew members able to communicate effectively with passengers? (For Passenger ships only)			
ADDITIONAL COMMENTS:				
SECTION 7. DEVELOPMENT OF PLANS FOR SHIPBOARD OPERATIONS				
22.	Are the passenger zones on board the ship clearly identified? (For Passenger ships only)			
23.	Are there restrictive barriers on board to ensure that the passengers do not overstep the limits of the established zones? (For Passenger ships only)			
24.	Do all passengers receive safety instructions including muster rolls and life-saving appliances? (For Passenger ships only)			
25.	Are the personnel aware of types of activities and working zones involving an increased risk that require a permit to work?			
26.	Does this permit clearly identify activities that have to be carried out?			
27.	Does this permit clearly identify person or persons carrying out high-risk activities?			
28.	Does this permit clearly define safety precautions?			
29.	Does this permit clearly identify time, place and equipment used in performing work?			
30.	Have specific responsibilities been allocated to shipboard personnel?			
31.	Are there proofs that the key operations on board are carried out under controlled conditions?			
32.	Is the number of working hours controlled of the shipboard personnel as a whole?			
33.	Are there schedules (sea and harbour) on board of the ship?			
34.	Are there documented procedures on board the ship for passage planning			

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No.	Questions	Ship		COMMENTS
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35.	Are there documented procedures on board the ship adopted to ensure that the Master is given positive statements by responsible personnel that all functional tests have been carried out before the ship proceeds to sea?			
36.	Is there a documented procedure on board the ship for special arrangements for bad weather and fog?			
37.	Are there documented procedures on board the ship for carrying out functional tests of all critical equipment?			
ADDITIONAL COMMENTS:				
SECTION 8. EMERGENCY PREPAREDNESS				
38.	Is there a list of potential emergency shipboard situations on board the ship?			
39.	Are scenario based contingency plans ship specific?			
40.	Does the ship have an approval Shipboard Oil Pollution Emergency Plan (SOPEP), in accordance with Regulation 26 of MARPOL 73/78, Annex I?			
41.	Does the ship have an approval Shipboard Marine Pollution Emergency Plan (SMPEP), in accordance with Regulation 16 of MARPOL 73/78, Annex II?			
42.	Are scenario-based shipboard contingency plans approved on a basis other than the ISM Code?			
43.	Are shipboard emergency drills and exercises modeled on the scenario based shipboard contingency plans?			
44.	Are all drills and exercises recorded?			
45.	Are results of drills and exercises analysed to assess their effectiveness?			
46.	Are drills and exercises conducted on irregular basis in conformity with the requirements of mandatory norms and regulations?			
47.	Are crewmembers able to communicate effectively one to other during emergencies?			
48.	Are crewmembers able to communicate effectively with passengers during emergencies? (For passenger ships only)			
ADDITIONAL COMMENTS:				

COMMENTS IN BOX: YES (X), NO(-), OR NOT APPLICABLE (NA)

No.	Questions	Ship		COMMENTS
		Yes	No	
SECTION 9. REPORTS AND ANALYSIS OF NON-CONFORMITIES, ACCIDENTS AND HAZARDOUS OCCURRENCES				
49.	Are records of non-conformities, accidents and hazardous occurrences maintained on board the ship?			
50.	Are non-conformities analyzed and accidents or hazardous occurrences investigated that place during the service?			
51.	Are corrective actions undertaken on the basis of analyzing non-conformities and investigating hazardous occurrences?			
52.	Is the efficiency of corrective actions assessed?			
ADDITIONAL COMMENTS:				
SECTION 10. MAINTENANCE OF THE SHIP AND EQUIPMENT				
53.	Do the ship maintenance procedure incorporate the following features:			
	<ul style="list-style-type: none"> • Maintenance inspections held at appropriate intervals? 			
	<ul style="list-style-type: none"> • Reporting of any non-conformity with its possible cause? 			
	<ul style="list-style-type: none"> • Implementation of appropriate corrective action? 			
	<ul style="list-style-type: none"> • Maintenance of adequate records? 			
54.	Does the ship have documented procedures for identifying critical shipboard equipment and technical systems, whose sudden failure may result in hazardous situations?			
55.	Does the ship have procedures for ensuring the continued functional reliability of critical systems?			
56.	Do the critical systems include the following:			
	<ul style="list-style-type: none"> • Alarms and emergency shutdowns? 			
	<ul style="list-style-type: none"> • Fuel oils system integrity? 			
	<ul style="list-style-type: none"> • Cargo system integrity? 			
	<ul style="list-style-type: none"> • Emergency equipment? 			
57.	Does the ship have procedures for testing stand by arrangements and equipment, technical means and systems that are not in continuous use?			

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No.	Questions	Ship		COMMENTS
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58.	Is the ship maintenance carried out on regular basis, as required by enterprises of maritime industry?			
59.	Are statutory survey reports used to determine the efficiency of ship maintenance procedures?			
60.	Are the measuring instruments calibrated on the basics of an agreed list of shipboard measuring instruments at the specified calibration intervals?			
ADDITIONAL COMMENTS:				
SECTION 11. DOCUMENTATION				
61.	Does the ship have documented procedures for controlling all documents and data relevant to the SMS?			
62.	Are obsolete documents promptly removed?			
63.	Does the ship being audited have SMS documentation relevant to that ship?			
64.	Is there a library on board the ship that contains these documents?			
65.	Is the shipboard personnel responsible for keeping the ship technical library up-to-date?			
66.	Is there an up-to-date list of codes, guidelines, rules and regulations on board the ship?			
ADDITIONAL COMMENTS:				
SECTION 12. COMPANY VERIFICATION, REVIEW AND EVALUATION				
67.	Does the Company carry out internal SMS audits on board the ship?			
68.	Do Non-Conformities require corrective actions to be raised?			
69.	Are deadlines set down for corrective action implementation?			
70.	Does the ship have documented procedures for ensuring that the results of the internal SMS audits are brought to the attention of all personnel who have the responsibility for the area of activity being audited?			

FINAL RECOMMENDATION:

It is recommended that:

A Full Term SMC may be issued valid for a period of five (5) years.

No Full Term SMC to be issued until Non-Conformities have been close-up at an Additional Verification Audit (Follow-Up Audit).
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I have issued the Interim SMC No. _____ at _____
(Place of issue of Interim SMC)
the _____ of _____ of _____ .
(Day) (Month) (Year)
Valid until: _____ of _____ of _____ .
(Day) (Month) (Year)
NOTE: Interim SMC, following Initial or Renewal Verification Audit, should be issued for a period not exceeding five (5) months.

Issued at : _____ the _____ of _____ .
(Place of issue of Initial/Renewal/Additional ⁽¹⁾ Verification Audit) (Day) (Month) (Year)

Name and Signature of duly authorized ISM-Code Auditor issuing the Initial/ Renewal/ Additional ⁽¹⁾ Verification Audit

By: Panama Maritime Documentation Services, I nc.

⁽¹⁾ Delete as Appropriate