

Hours of work and rest for October 2006 – chief officer



Extract of ICS Bridge Procedures Guide

### **3.3.4 At anchor (see bridge checklist B8)**

On anchoring, a fix on the anchor drop position should be made and the ship's swinging circle ascertained, based upon the length of cable in use. Landmarks and transits should be selected for ease of monitoring the position of the ship as it lies at anchor and appropriate light and shape signals should be exhibited according to the COLREGS and any local regulations.

While at anchor, the OOW should maintain a check on the ship's position to monitor that the ship does not drag its anchor or move too close to any other anchored ship.

A proper look-out must be maintained and ship inspection rounds periodically made, particularly if the ship is anchored in waters which might present a risk of attack by pirates or armed robbers.

The master should be immediately notified if the ship drags her anchor, and if sea conditions or visibility deteriorate.

## B8 Anchoring and anchor watch

Has an anchoring plan been prepared taking into account

- speed reduction in ample time
- direction/strength of wind and current
- tidal stream when manoeuvring at low speeds
- need for adequate sea room particularly to seaward
- depth of water, type of seabed and the scope of anchor cable required
  
- Have the engineroom and anchor party been informed of the time of 'stand-by' for anchoring?
  
- Are the anchors, lights/shapes and sound signalling apparatus ready for use?
  
- Has the anchor position of the ship been reported to the port authority?

While at anchor, the OOW should

- determine and plot the ship's position on the appropriate chart as soon as practicable
- when circumstances permit, check at sufficiently frequent intervals whether the ship is remaining securely at anchor by taking bearings of fixed navigation marks or readily identifiable shore objects
- ensure that proper look-out is maintained
- ensure that inspection rounds of the ship are made periodically
- observe meteorological and tidal conditions and the state of the sea
- notify the master and undertake all necessary measures if the ship drags anchor
- ensure that the state of readiness of the main engines and other machinery is in accordance with the master's instructions
- if visibility deteriorates, notify the master
- ensure that the ship exhibits the appropriate lights and shapes and that appropriate sound signals are made in accordance with all applicable regulations
- take measures to protect the environment from pollution by the ship and comply with applicable pollution regulations

Other checks:

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Extract of ISM Code

## **14 INTERIM CERTIFICATION**

**14.1** An Interim Document of Compliance may be issued to facilitate initial implementation of this Code when:

- .1** a Company is newly established; or
- .2** new ship types are to be added to an existing Document of Compliance,

following verification that the Company has a safety management system that meets the objectives of paragraph 1.2.3 of this Code, provided the Company demonstrates plans to implement a safety management system meeting the full requirements of this Code within the period of validity of the Interim Document of Compliance. Such an Interim Document of Compliance should be issued for a period not exceeding 12 months by the Administration or by an organization recognized by the Administration or, at the request of the Administration, by another Contracting Government. A copy of the Interim Document of Compliance should be placed on board in order that the master of the ship, if so requested, may produce it for verification by the Administration or by an organization recognized by the Administration or for the purposes of the control referred to in regulation IX/6.2 of the Convention. The copy of the Document is not required to be authenticated or certified.

**14.2** An Interim Safety Management Certificate may be issued:

- .1** to new ships on delivery;
- .2** when a Company takes on responsibility for the operation of a ship which is new to the Company; or
- .3** when a ship changes flag.

Such an Interim Safety Management Certificate should be issued for a period not exceeding 6 months by the Administration or an organization recognized by the Administration or, at the request of the Administration, by another Contracting Government.

**14.3** An Administration or, at the request of the Administration, another Contracting Government may, in special cases, extend the validity of an Interim Safety Management Certificate for a further period which should not exceed 6 months from the date of expiry.

**14.4** An Interim Safety Management Certificate may be issued following verification that:

- .1** the Document of Compliance, or the Interim Document of Compliance, is relevant to the ship concerned;

- .2 the safety management system provided by the Company for the ship concerned includes key elements of this Code and has been assessed during the audit for issuance of the Document of Compliance or demonstrated for issuance of the Interim Document of Compliance;
- .3 the Company has planned the audit of the ship within three months;
- .4 the master and officers are familiar with the safety management system and the planned arrangements for its implementation;
- .5 instructions, which have been identified as being essential, are provided prior to sailing; and
- .6 relevant information on the safety management system has been given in a working language or languages understood by the ship's personnel.

## **15 VERIFICATION**

**15.1** All verifications required by the provisions of this Code should be carried out in accordance with procedures acceptable to the Administration, taking into account the guidelines developed by the Organization.\*

## **16 FORMS OF CERTIFICATES**

**16.1** The Document of Compliance, the Safety Management Certificate, the Interim Document of Compliance and the Interim Safety Management Certificate should be drawn up in a form corresponding to the models given in the appendix to this Code. If the language used is neither English nor French, the text should include a translation into one of these languages.

**16.2** In addition to the requirements of paragraph 13.3, the ship types indicated on the Document of Compliance and the Interim Document of Compliance may be endorsed to reflect any limitations in the operations of the ships described in the safety management system.

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\* Refer to the Revised Guidelines on implementation of the International Safety Management (ISM) Code by Administrations, adopted by the Organization by resolution A.913(22).

Revised Guidelines on implementation of the ISM Code by Administrations

# Revised Guidelines on implementation of the International Safety Management (ISM) Code by Administrations

*Resolution A.913(22)*

## INTRODUCTION

### The ISM Code

The International Management Code for the Safe Operation of Ships and for Pollution Prevention (International Safety Management (ISM) Code) was adopted by the Organization by resolution A.741(18) and became mandatory by virtue of the entry into force on 1 July 1998 of SOLAS chapter IX on Management for the Safe Operation of Ships. The ISM Code provides an international standard for the safe management and operation of ships and for pollution prevention.

The Maritime Safety Committee, at its seventy-third session, adopted amendments to chapter IX of SOLAS by resolution MSC.99(73), and to sections 1, 7, 13, 14, 15 and 16 of the ISM Code by resolution MSC.104(73). As a result it is necessary to revise the previous version of the Guidelines contained in Assembly resolution A.788(19), which is being superseded by the present Guidelines.

The ISM Code requires that Companies establish safety objectives as described in section 1.2 of the ISM Code, and in addition that the Companies develop, implement and maintain a safety management system which includes functional requirements as listed in section 1.4 of the ISM Code.

The application of the ISM Code should *support and encourage* the development of a safety culture in shipping. Success factors for the development of a safety culture are, *inter alia*, commitment, values and beliefs.

### Mandatory application of the ISM Code

The appropriate organization of management, ashore and on board, is needed to ensure adequate standards of safety and pollution prevention. A systematic approach to management by those responsible for management of ships is therefore required. The objectives of the mandatory application of the ISM Code are to ensure:

- .1 compliance with mandatory rules and regulations related to the safe operation of ships and protection of the environment; and

- .2 the effective implementation and enforcement thereof by Administrations.

Effective enforcement by Administrations must include verification that the safety management system complies with the requirements as stipulated in the ISM Code, as well as verification of compliance with mandatory rules and regulations.

The mandatory application of the ISM Code should ensure, support and encourage the taking into account of applicable codes, guidelines and standards recommended by the Organization, Administrations, classification societies and maritime industry organizations.

### **Verification and certification responsibilities**

The Administration is responsible for verifying compliance with the requirements of the ISM Code and issuing Documents of Compliance to Companies and Safety Management Certificates to ships.

Resolutions A.739(18) – Guidelines for the authorization of organizations acting on behalf of the Administration and A.789(19) – Specifications on the survey and certification functions of recognized organizations acting on behalf of the Administration, which have been made mandatory by virtue of SOLAS regulation XI/1, and resolution A.847(20) – Guidelines to assist flag States in the implementation of IMO instruments are applicable when Administrations authorize organizations to issue Documents of Compliance and Safety Management Certificates on their behalf.

## **1 SCOPE AND APPLICATION**

### **1.1 Definitions**

The terms used in these Revised Guidelines have the same meaning as those given in the ISM Code.

### **1.2 Scope and application**

**1.2.1** These Guidelines establish basic principles:

- .1 for verifying that the safety management system of a Company responsible for the operation of ships, or the safety management system for the ship or ships controlled by the Company, complies with the ISM Code; and
- .2 for the issue and annual verification of the Document of Compliance and for the issue and intermediate verification of the Safety Management Certificate.

**1.2.2** These Guidelines are applicable to Administrations with effect as of 1 July 2002.

## **2 VERIFYING COMPLIANCE WITH THE ISM CODE**

### **2.1 General**

**2.1.1** To comply with the requirements of the ISM Code, Companies should develop, implement and maintain a safety management system to ensure that the safety and environmental protection policy of the Company is implemented. The Company policy should include the objectives defined by the ISM Code.\*

**2.1.2** Administrations should verify compliance with the requirements of the ISM Code by determining:

- .1** the conformity of the Company's safety management system with the requirements of the ISM Code; and
- .2** that the safety management system ensures that the objectives defined in paragraph 1.2.3 of the ISM Code are met.

**2.1.3** Determining the conformity or non-conformity of the safety management system elements with the requirements specified by the ISM Code may demand that criteria for assessment be developed. Administrations are recommended to limit the development of criteria in the form of prescriptive management system solutions. Criteria for assessment in the form of prescriptive requirements may have the effect that safety management in shipping results in Companies implementing solutions prepared by others, and it may then be difficult for a Company to develop the solutions which best suit that particular Company, that particular operation or that specific ship.

**2.1.4** Therefore, Administrations are recommended to ensure that these assessments are based on determining the effectiveness of the safety management system in meeting specified objectives, rather than conformity with detailed requirements in addition to those contained in the ISM Code, so as to reduce the need for developing criteria to facilitate assessment of Companies' compliance with the Code.

### **2.2 The ability of the safety management system to meet general safety management objectives**

**2.2.1** The ISM Code identifies general safety management objectives. These objectives are:

- .1** to provide for safe practices in ship operation and a safe working environment;

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\* The ICS/ISF Guidelines on the application of the International Safety Management Code provide useful guidance on important individual elements of a safety management system and its development by Companies.

- .2 to establish safeguards against all identified risks; and
- .3 to continuously improve the safety management skills of personnel ashore and aboard, including preparing for emergencies related both to safety and to environmental protection.

The verification should support and encourage Companies in achieving these objectives.

**2.2.2** These objectives provide clear guidance to Companies for the development of safety management system elements in compliance with the ISM Code. Since, however, the ability of the safety management system in achieving these objectives cannot be determined beyond whether the safety management system complies with the requirements of the ISM Code, they should not form the basis for establishing detailed interpretations to be used for determining conformity or non-conformity with the requirements of the ISM Code.

### **2.3 The ability of the safety management system to meet specific requirements of safety and pollution prevention**

**2.3.1** The main criterion which should govern the development of interpretations needed for assessing compliance with the requirements of the ISM Code should be the ability of the safety management system to meet the specific requirements defined by the ISM Code in terms of specific standards of safety and pollution prevention.

The specific standards of safety and protection of the environment specified by the ISM Code are:

- .1 compliance with mandatory rules and regulations; and
- .2 that applicable codes, guidelines and standards recommended by the Organization, Administrations, classification societies and other maritime industry organizations are taken into account.

**2.3.2** All records having the potential to facilitate verification of compliance with the ISM Code should be open to scrutiny during an examination. For this purpose the Administration should ensure that the Company provides auditors with statutory and classification records relevant to the actions taken by the Company to ensure that compliance with mandatory rules and regulations is maintained. In this regard the records may be examined to substantiate their authenticity and veracity.

**2.3.3** Some mandatory requirements may not be subject to statutory or classification surveys, such as:

- .1 maintaining the condition of ship and equipment between surveys; and

- .2 certain operational requirements.

Specific arrangements may be required to ensure compliance and to provide for the objective evidence needed for verification in these cases, such as:

- .1 documented procedures and instructions; and
- .2 documentation of the verification carried out by senior officers of day-to-day operation when relevant to ensure compliance.

**2.3.4** The verification of compliance with mandatory rules and regulations, which is part of the ISM Code certification, neither duplicates nor substitutes surveys for other maritime certificates. The verification of compliance with the ISM Code does not relieve the Company, the master or any other entity or person involved in the management or operation of the ship of their responsibilities.

**2.3.5** Administrations should ensure that the Company has:

- .1 taken into account the recommendations, as referred to in 1.2.3.2 of the ISM Code, when establishing the safety management system; and
- .2 developed procedures to ensure that these recommendations are implemented on shore and on board.

**2.3.6** Within a safety management system, implementation of codes, guidelines and standards recommended by the Organization, Administrations, classification societies and other maritime industry organizations does not make these recommendations mandatory under the ISM Code. Nevertheless auditors should encourage companies to adopt these recommendations whenever applicable to the Company.

### **3 THE CERTIFICATION PROCESS**

#### **3.1 Certification activities**

**3.1.1** The certification process relevant to a Document of Compliance for a Company and a Safety Management Certificate to a ship will normally involve the following steps:

- .1 initial verification;
- .2 annual or intermediate verification;
- .3 renewal verification; and
- .4 additional verification.

These verifications are carried out at the request of the Company to the Administration, or to the organization recognized by the Administration to perform certification functions under the ISM Code, or at the request of the Administration by another Contracting Government to the Convention.

The verifications will include an audit of the safety management system.

## **3.2 Initial verification**

**3.2.1** The Company should apply for ISM Code certification to the Administration.

**3.2.2** An assessment of the shoreside management system undertaken by the Administration would necessitate assessment of the offices where such management is carried out and possibly of other locations, depending on the Company's organization and the functions of the various locations.

**3.2.3** On satisfactory completion of the assessment of the shoreside safety management system, arrangements/planning may commence for the assessment of the Company's ships.

**3.2.4** On satisfactory completion of the assessment, a Document of Compliance will be issued to the Company, copies of which should be forwarded to each shoreside premises and each ship in the Company's fleet. As each ship is assessed and issued with a Safety Management Certificate, a copy of it should also be forwarded to the Company's head office.

**3.2.5** In cases where certificates are issued by a recognized organization, copies of all certificates should also be sent to the Administration.

**3.2.6** The safety management audit for the Company and for a ship will involve the same basic steps. The purpose is to verify that a Company or a ship complies with the requirements of the ISM Code. The audits include:

- .1** the conformity of the Company's safety management system with the requirements of the ISM Code, including objective evidence demonstrating that the Company's safety management system has been in operation for at least three months and that a safety management system has been in operation on board at least one ship of each type operated by the Company for at least three months; and
- .2** that the safety management system ensures that the objectives defined in paragraph 1.2.3 of the ISM Code are met. This includes verification that the Document of Compliance for the Company responsible for the operation of the ship is applicable to that particular type of ship, and assessment of the shipboard safety management system to verify that it complies with the

requirements of the ISM Code, and that it is implemented. Objective evidence demonstrating that the Company's safety management system has been functioning effectively for at least three months on board the ship should be available, including, *inter alia*, records from the internal audit performed by the Company.

### **3.3 Annual verification of Document of Compliance**

**3.3.1** Annual safety management audits are to be carried out to maintain the validity of the Document of Compliance and should include examining and verifying the correctness of the statutory and classification records presented for at least one ship of each type to which the Document of Compliance applies. The purpose of these audits is to verify the effective functioning of the safety management system, and that any modifications made to the safety management system comply with the requirements of the ISM Code.

**3.3.2** Annual verification is to be carried out within three months before and after each anniversary date of the Document of Compliance. A schedule not exceeding three months is to be agreed for completion of the necessary corrective actions.

**3.3.3** Where the Company has more than one shoreside premises, each of which may not have been visited at the initial assessment, the annual assessments should endeavour to ensure that all sites are visited during the period of validity of the Document of Compliance.

### **3.4 Intermediate verification of Safety Management Certificates**

**3.4.1** Intermediate safety management audits should be carried out to maintain the validity of the Safety Management Certificates. The purpose of these audits is to verify the effective functioning of the safety management system and that any modifications made to the safety management system comply with the requirements of the ISM Code. In certain cases, particularly during the initial period of operation under the safety management system, the Administration may find it necessary to increase the frequency of the intermediate verification. Additionally, the nature of non-conformities may also provide a basis for increasing the frequency of intermediate verifications.

**3.4.2** If only one intermediate verification is to be carried out, it should take place between the second and third anniversary dates of the issue of the Safety Management Certificate.

### **3.5 Renewal verification**

Renewal verifications are to be performed before the validity of the Document of Compliance or the Safety Management Certificate expires. The renewal verification will address all the elements of the safety management system and the activities to which the requirements of the ISM Code apply. Renewal verification may be carried out from six months before the date of expiry of the Document of Compliance or the Safety Management Certificate, and should be completed before their date of expiry.

### **3.6 Safety management audits**

The procedure for safety management audits outlined in the following paragraphs includes all steps relevant for initial verification. Safety management audits for annual verification and renewal verification should be based on the same principles even if their scope may be different.

### **3.7 Application for audit**

**3.7.1** The Company should submit a request for audit to the Administration or to the organization recognized by the Administration for issuing a Document of Compliance or a Safety Management Certificate on behalf of the Administration.

**3.7.2** The Administration or the recognized organization should then nominate the lead auditor and, if relevant, the audit team.

### **3.8 Preliminary review**

As a basis for planning the audit, the auditor should review the Safety Management Manual to determine the adequacy of the safety management system in meeting the requirements of the ISM Code. If this review reveals that the system is not adequate, the audit will have to be delayed until the Company undertakes corrective action.

### **3.9 Preparing the audit**

**3.9.1** The nominated lead auditor should liaise with the Company and produce an audit plan.

**3.9.2** The auditor should provide the working documents which are to govern the execution of the audit to facilitate the assessments, investigations and examinations in accordance with the standard procedures, instructions and forms which have been established to ensure consistent auditing practices.

**3.9.3** The audit team should be able to communicate effectively with auditees.

### **3.10 Executing the audit**

**3.10.1** The audit should start with an opening meeting in order to introduce the audit team to the Company's senior management, summarize the methods for conducting the audit, confirm that all agreed facilities are available, confirm time and date for a closing meeting and clarify possible unclear details relevant to the audit.

**3.10.2** The audit team should assess the safety management system on the basis of the documentation presented by the Company and objective evidence as to its effective implementation.

**3.10.3** Evidence should be collected through interviews and examination of documents. Observation of activities and conditions may also be included when necessary to determine the effectiveness of the safety management system in meeting the specific standards of safety and protection of the environment required by the ISM Code.

**3.10.4** Audit observations should be documented. After activities have been audited, the audit team should review their observations to determine which are to be reported as non-conformities. Non-conformities should be reported in terms of the general and specific provisions of the ISM Code.

**3.10.5** At the end of the audit, prior to preparing the audit report, the audit team should hold a meeting with the senior management of the Company and those responsible for the functions concerned. The purpose is to present the observations in such a way as to ensure that the results of the audit are clearly understood.

### **3.11 Audit report**

**3.11.1** The audit report should be prepared under the direction of the lead auditor, who is responsible for its accuracy and completeness.

**3.11.2** The audit report should include the audit plan, identification of audit team members, dates and identification of the Company, observations on any non-conformities and observations on the effectiveness of the safety management system in meeting the specified objectives.

**3.11.3** The Company should receive a copy of the audit report. The Company should be advised to provide a copy of the shipboard audit reports to the ship.

### **3.12 Corrective action follow-up**

**3.12.1** The Company is responsible for determining and initiating the corrective action needed to correct a non-conformity or to correct the

cause of the non-conformity. Failure to correct non-conformities with specific requirements of the ISM Code may affect the validity of the Document of Compliance and related Safety Management Certificates.

**3.12.2** Corrective actions and possible subsequent follow-up audits should be completed within the time period agreed. The Company should apply for the follow-up audits.

### **3.13 Company responsibilities pertaining to safety management audits**

**3.13.1** The verification of compliance with the requirements of the ISM Code does not relieve the Company, management, officers or seafarers of their obligations as to compliance with national and international legislation related to safety and protection of the environment.

**3.13.2** The Company is responsible for:

- .1 informing relevant employees about the objectives and scope of the ISM Code certification;
- .2 appointing responsible members of staff to accompany members of the team performing the certification;
- .3 providing the resources needed by those performing the certification to ensure an effective and efficient verification process;
- .4 providing access and evidential material as requested by those performing the certification; and
- .5 co-operating with the verification team to permit the certification objectives to be achieved.

### **3.14 Responsibilities of the organization performing the ISM Code certification**

The organization performing the ISM Code certification is responsible for ensuring that the certification process is performed according to the ISM Code and these Guidelines. This includes management control of all aspects of the certification according to the appendix to these Guidelines.

### **3.15 Responsibilities of the verification team**

**3.15.1** Whether the verifications involved with certification are performed by a team or not, one person should be in charge of the verification. The leader should be given the authority to make final decisions regarding the conduct of the verification and any observations. His responsibilities should include:

- .1 preparation of a plan for the verification; and
- .2 submission of the report of the verification.

**3.15.2** Personnel participating in the verification are responsible for complying with the requirements governing the verification, ensuring confidentiality of documents pertaining to the certification and treating privileged information with discretion.

## Appendix

# Standards on ISM Code certification arrangements

## 1 Introduction

The audit team involved with ISM Code certification, and the organization under which it may be managed, should comply with the specific requirements stated in this appendix.

## 2 Standard of management

**2.1** Organizations managing verification of compliance with the ISM Code should have, in their own organization, competence in relation to:

- .1 ensuring compliance with the rules and regulations, including certification of seafarers, for the ships operated by the Company;
- .2 approval, survey and certification activities;
- .3 the terms of reference that must be taken into account under the safety management system as required by the ISM Code; and
- .4 practical experience of ship operation.

**2.2** The Convention requires that organizations recognized by Administrations for issuing a Document of Compliance and a Safety Management Certificate at their request should comply with resolution A.739(18) – Guidelines for the authorization of organizations acting on behalf of the Administration and A.789(19) – Specifications on the survey and certification functions of recognized organizations acting on behalf of the Administration.

**2.3** Any organization performing verification of compliance with the provisions of the ISM Code should ensure that there exists independence between the personnel providing consultancy services and those involved in the certification procedure.

## 3 Standards of competence

### 3.1 *ISM Code certification scheme management*

Management of ISM Code certification schemes should be carried out by those who have practical knowledge of ISM Code certification procedures and practices.

### **3.2** *Basic competence for performing verification*

**3.2.1** Personnel who are to participate in the verification of compliance with the requirements of the ISM Code should have a minimum of formal education comprising the following:

- .1** qualifications from a tertiary institution recognized by the Administration or by the recognized organization within a relevant field of engineering or physical science (minimum two years programme), or
- .2** qualifications from a marine or nautical institution and relevant seagoing experience as a certified ship officer.

**3.2.2** They should have undergone training to ensure adequate competence and skills for performing verification of compliance with the requirements of the ISM Code, particularly with regard to:

- .1** knowledge and understanding of the ISM Code;
- .2** mandatory rules and regulations;
- .3** the terms of reference which the ISM Code requires that Companies should take into account;
- .4** assessment techniques of examining, questioning, evaluating and reporting;
- .5** technical or operational aspects of safety management;
- .6** basic knowledge of shipping and shipboard operations; and
- .7** participation in at least one marine-related management system audit.

**3.2.3** Such competence should be demonstrated through written or oral examinations, or other acceptable means.

### **3.3** *Competence for initial verification and renewal verification*

**3.3.1** In order to assess fully whether the Company or the ship complies with the requirements of the ISM Code, in addition to the basic competence stated under section 3.2 above, personnel who are to perform initial verifications or renewal verifications for a Document of Compliance or a Safety Management Certificate must possess the competence to:

- .1** determine whether the safety management system elements conform or do not conform with the requirements of the ISM Code;

- .2 determine the effectiveness of the Company's safety management system, or that of the ship, to ensure compliance with rules and regulations as evidenced by the statutory and classification survey records;
- .3 assess the effectiveness of the safety management system in ensuring compliance with other rules and regulations which are not covered by statutory and classification surveys and enabling verification of compliance with these rules and regulations; and
- .4 assess whether the safe practices recommended by the Organization, Administrations, classification societies and maritime industry organizations have been taken into account.

**3.3.2** This competence can be accomplished by teams which together possess the total competence required.

**3.3.3** Personnel who are to be in charge of initial verification or renewal verification of compliance with the requirements of the ISM Code should have at least five years experience in areas relevant to the technical or operational aspects of safety management, and should have participated in at least three initial verifications or renewal verifications. Participation in verification of compliance with other management standards may be considered as equivalent to participation in verification of compliance with the ISM Code.

#### **3.4** *Competence for annual, intermediate and interim verification*

Personnel who are to perform annual, intermediate and interim verifications should satisfy basic requirements for personnel participating in verifications and should have participated in a minimum of two annual, renewal or initial verifications. They should have received special instructions needed to ensure that they possess the competence required to determine the effectiveness of the Company's safety management system.

## **4 Qualification arrangements**

Organizations performing ISM Code certification should have implemented a documented system for qualification and continuous updating of the knowledge and competence of personnel who are to perform verification of compliance with the ISM Code. This system should comprise theoretical training courses covering all the competence requirements and the appropriate procedures connected to the certification process, as well as practical tutored training, and it should provide documented evidence of satisfactory completion of the training.

## **5 Certification procedures and instructions**

Organizations performing ISM Code certification should have implemented a documented system to ensure that the certification process is performed in accordance with this standard. This system should, *inter alia*, include procedures and instructions for the following:

- .1 contract agreements with Companies;
- .2 planning, scheduling and performing verification;
- .3 reporting results from verification;
- .4 issuance of Documents of Compliance, Safety Management Certificates and Interim Documents of Compliance and Safety Management Certificates; and
- .5 corrective action and follow-up of verifications, including actions to be taken in cases of major non-conformity.

List of proposed items to be removed from the ship's SMS

4<sup>th</sup> October 2006.

## Harvest Caroline.

We would respectfully request that you can give consideration to the removal of the following items from the SMS system as they are not applicable to our vessel or current trading patterns.

1. Chapter 7.2.8 Navigating in ice. ✓
2. Chapter 7.2.19a Radio Operations for Non-GMDSS vessels. ✓
3. Chapter 7.5 Cargo Handling operations Tankers, Pages 73-119. ✓

We have reviewed the various report forms in the SMS System and believe that due to the vessel's trading route duplication of many forms is included we would like to remove the following items.

4. Form B001 Cargo operations Control Room Form ✓
5. Form B002 Ship/Shore Log Bulk Cargoes ✓
6. Form T 001 Ship/Shore Safety Checklist ✓
7. Form T002 Discharging Ballast Plan ✓
8. Form T003 ROB/OBQ Certificate ✓
9. Form T004 Ullage Report ✓
10. Form T 005 Pumping Log. ✓
11. Form T 006 Crude Oil Washing. ✓
12. Form T 007 IGS Safety Checklist ✓
13. Form T 008 IGS\Log Book ✓
14. Form T 009 Instructions for Cargo Handling Procedures. ✓
15. Form T 009 Instructions for Cargo Handling Procedures. ✓

Summary of the non-conformities identified during internal audit

**Summary of non-conformities identified during internal audit conducted on 3 October 2006.**

Company

- *Requisition forms not being completed and recorded*
- *Not all publications available*
- *Notice of survey status not being completed*
- *Defect forms not being properly completed and filed*
- *Drawings and plans not readily available in office*
- *List of surveyable items and due dates not available*

Ship

- *No evidence of spare parts inventory for deck and engine departments*
- *No evidence of 4 yearly test and certification of lifting appliances*
- *Bunkering diagram to be posted and bunkering procedures to be finalised*
- *No evidence of a satisfactory system of carrying out and recording planned maintenance for deck and engine departments*
- *No history of testing of safety harness*
- *Remote stops for engine room fans and fuel oil pump control box not marked, and no evidence of testing of remote stops*
- *Oxygen meter no available on board for entry to enclosed spaces*
- *Hot work permits not being completed*

Summary of the non-conformities identified during initial ISM audit

**Summary of non-conformities identified during Initial Audits 24 and 25 October 2006:**

Company

- *Appointment of company managers not available*
- *No evaluation of the master and chief engineer by company managers*
- *Safety committee minutes not available*
- *Master review report missing*
- *No joint drills between the company and vessel*

Ship

- *Original certificates on one AB not available*
- *Quarterly, semi-yearly maintenance reports of the safety items not available*
- *Superintendent's inspection report not available*
- *Planned and unplanned maintenance works during August to September 2006 are missing.*
- *Quarterly, semi-yearly maintenance reports of machinery items are missing*
- *Crankshaft deflection reports are missing*
- *Megger test reports are missing*
- *Internal audit report not available on board*
- *SOPEP contact points to be updated*

Black-Grey-White Lists 2005 (Updated on 17 October 2006)

**Black - Grey - White lists 2005**  
 Effective 1 July 2006 (updated on 17-10-2006)

<b>Black List</b>					
<b>Flag State</b>	<b>Inspections 2003-2005</b>	<b>Detentions 2003-2005</b>	<b>Black to Grey limit</b>	<b>Grey to White limit</b>	<b>Excess Factor</b>
Korea, DPR	348	125	33	<b>very high risk</b>	9,23
Albania	347	111	33		7,96
Tonga	50	18	7		6,98
Honduras	155	40	17		5,40
Comoros	255	55	25		4,49
Georgia	629	123	55		4,34
Slovakia	108	25	12		4,26
Bolivia	61	15	8		4,01
Syrian Arab Republic	202	38	21	<b>high risk</b>	3,50
Cambodia	671	112	58		3,46
Algeria	172	32	18		3,32
Lebanon	194	35	20		3,24
St Vincent & Grenadines	2520	333	198	<b>mthr*</b>	2,71
Turkey	2122	243	168		2,11
Brazil	48	8	7	<b>medium risk</b>	1,63
Egypt	163	20	17		1,47
Ukraine	606	60	53		1,34
Taiwan	39	6	6		1,09
<b>Grey List</b>					
Belize	570	50	50	29	0,98
Mongolia	47	5	7	0	0,75
Morocco	170	13	18	6	0,59
Faeroe Islands	63	5	8	1	0,58
Dominica	52	4	7	0	0,55
Croatia	212	15	21	8	0,51
India	141	10	15	4	0,51
Romania	131	9	14	4	0,48
Thailand	181	12	19	7	0,45
Panama	6429	444	484	416	0,41
Estonia	203	12	21	8	0,33
Lithuania	328	20	31	15	0,32
Latvia	80	4	10	1	0,31
Bulgaria	300	18	29	13	0,31
Poland	145	7	16	5	0,22
Tunisia	44	1	6	0	0,18
Russian Federation	2603	168	204	160	0,18

\* mthr = medium to high risk

Ireland	191	9	20	7	0,15
Iran, Islamic Republic of	249	12	25	10	0,12
Japan	67	1	9	1	0,03
Malaysia	149	5	16	5	0,02
Switzerland	70	1	9	1	0,01
Vanuatu	131	4	14	4	0,01
<b>White List</b>					
Saudi Arabia	49	0	7	0	0,00
Korea, Republic of	153	5	16	5	-0,01
Malta	4185	252	321	265	-0,11
Azerbaijan	121	3	14	3	-0,14
Cyprus	3166	175	246	198	-0,25
Antilles, Netherlands	695	32	60	37	-0,28
Spain	297	11	29	13	-0,28
Israel	56	0	8	0	-0,29
Belgium	108	2	12	3	-0,31
Gibraltar	662	29	58	35	-0,35
Barbados	319	10	30	14	-0,55
Greece	1577	68	128	93	-0,58
Cayman Islands	407	11	37	20	-0,83
Antigua and Barbuda	4299	168	329	273	-0,86
Hong Kong, China	1006	33	84	57	-0,87
U.S.A.	190	3	20	7	-0,92
Singapore	808	21	69	44	-1,08
Bahamas	3362	105	260	211	-1,11
Philippines	222	3	22	9	-1,13
Italy	1069	28	89	61	-1,14
Luxemburg	184	2	19	7	-1,14
Liberia	2960	88	231	184	-1,15
Marshall Islands	1105	27	92	63	-1,21
China, People's Rep.	280	4	27	12	-1,23
Bermuda	251	3	25	10	-1,29
Denmark	1283	29	105	74	-1,31
Portugal	567	10	50	29	-1,34
Norway	2748	65	215	170	-1,37
Netherlands, the	2990	68	233	186	-1,41
Germany	1108	21	92	63	-1,43
Sweden	962	15	81	54	-1,54
Man, Isle of	775	11	66	42	-1,56
United Kingdom	1528	24	124	90	-1,61
France	237	1	24	10	-1,65
Finland	534	5	48	27	-1,68

Copy of the UK Register flagging-in matrix used for *Harvest Caroline*

FACTOR	CRITERIA	POINTS	ALLOCATED SCORE
Vessel name	FJORDBULK		
IMO Number	7042291		
Losing flag MOU Black – Grey – White - utilising the Paris Lists. (See note B)	White Listed - Norway International Register of Shipping Grey Listed Black Listed	0 20 60	0
<sup>1</sup> Managers Fleet - assessment based on professional judgement and knowledge of the MCA	(a) known to MCA & good reputation (b) not known to MCA (c) known to MCA with concerns (d) known to MCA to have a chequered history	0 30 30 60	30
<sup>2</sup> Class society	(a) UK authorised society - DNV (b) other IACS member (c) non IACS member (d) vessel not classed (Refer to QSB)	0 20 30 60	0
<sup>3</sup> Ship Type	Passenger ship (See note and refer case to QSB) Bulk carrier Gas/chemical carrier Oil tanker General Dry Cargo Other (inc Container, RoRo Cargo, Vehicle carrier.)	60 20 15 20 20 5	20
Age	0-9 10-14 15-19 over 20 years old (Refer to QSB) 35 Years old (1971)	0 10 30 60	60
EQUASIS; Sea-Web; Class Direct	Interrogate these databases for background information	See note	
Port State Control record – combine detention and deficiency points, as appropriate.	No deficiencies in last 12 months 1-10 or less deficiencies in last 12 months 11 deficiencies or more in last 12 months No PSC history tho' eligible for PSC Not inspected in the last 24 months tho' eligible for PSC Detained once in last 5 years Detained more than once in last 5 years (Refer to QSB)	0 10 15 20 20 30 60	0
Refused Ship Table	Check the vessel has not been refused by one of the Category 1 Registers.	<b>TOTAL</b>	<b>110</b>
Name of CSM	Check CSM database		

## SURVEY THRESHOLDS - FOR USE WITH ABOVE TABLE

Actual Score	Class	MCA	Refuse to register
0 - 55	✓		Papers must now be passed to QSB to take forward refusal of vessel
56 - 99		✓	
100 - 360			✓

Please fax a copy of the completed matrix to the Quality Shipping Branch on: 023 80 329 447 or email MCA\_UKflag@mcga.gov.uk

<sup>1</sup> Assessment of the Company relates to the Company AFTER transfer to the UK Register.

<sup>2</sup> Consideration of the Class Society relates to the Society BEFORE transfer to the UK Register.

<sup>3</sup> As categorised by Paris MOU

Three-year detention rate per Recognised Organisation (2003-2005)

### Three-year detention rate per Recognised Organisation (2003-2005) Cases in which more than 60 inspections are involved

		Inspections*	detentions	Low/medium limit	Medium/high limit	excess factor	Performance level	
Register of Shipping (Albania)	RS	253	26	9	1	6,38	Very Low	
International Register of Shipping (USA)	IS	303	24	11	2	4,59		
International Naval Surveys Bureau (Greece)	INSB	457	20	13	3	1,96	Low	
Hellenic Register of Shipping (Greece)	HRS	583	21	18	6	1,47		
Inclamar (Cyprus)	INC	101	5	5	0	1,11		
China Corporation Register of Shipping	CCRS	64	3	4	0	0,87	Medium	
Indian Register of Shipping	IRS	90	3	4	0	0,72		
Shipping Register of the Ukrain	SRU	188	5	7	0	0,67		
RINAVE Portuguesa (Portugal)	RINAVE	75	2	4	0	0,60		
Bulgarski Koraben Registrar	BKR	344	5	12	2	0,30		
Turkisch Lloyd	TL	706	10	21	8	0,19		
Romanian Naval Register	RNR	88	0	4	0	0,17		
Polski Rejestr Statkow (Poland)	PRS	1084	16	30	14	0,15		
Russian River Register	RR	279	2	10	1	0,09		
Croatian Register of Shipping (Croatia)	CRS	287	2	10	1	0,08		
China Classification Society	CCS	485	3	15	4	-0,33		High
Korean Register of Shipping (South Korea)	KRS	506	3	16	4	-0,40		
Russian Maritime Register of Shipping	RMRS	5466	55	127	92	-0,74		
Lloyd's Register (U.K.)	LR	10710	78	239	190	-1,13		
Nippon Kaiji Kyokai (Japan)	ClassNK	5062	33	118	84	-1,14		
Bureau Veritas (France)	BV	8368	49	189	146	-1,28		
American Bureau of Shipping	ABS	4248	20	100	69	-1,36		
Det Norske Veritas (Norway)	DNV	8051	39	182	140	-1,40		
Registro Italiano Navale (Italy)	RINA	1876	5	48	27	-1,53		
Germanischer Lloyd (Germany)	GL	11882	43	263	212	-1,57		

p=0,02  
q=0,01