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ISM Form 4b	Initial Company Assessment Report
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ISM Form 6	Company Audit Report
ISM Form 7	Ship Audit Report
ISM Form 8	Non-Conformity Notes
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1 INTRODUCTION

1.1 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 International Maritime Organization (IMO) 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 Industry Authority (MARINA), as the Flag Administration, is mandated to promote and develop the Maritime Industry by virtue of Presidential Decree No. 474 and to undertake the safety regulatory functions pertaining to ship construction and operation under section 12(e) of Executive Order No. 125, as amended and R. A. 9295 and its implementing rules and regulations, as amended. MARINA is tasked to ensure that all shipowners or operators shall maintain their ships in accordance with operational and safety standards required by existing laws and/or applicable international conventions, codes, rules and regulations for the duration of the ship's operational life.

In order to effectively implement the provisions of the Code, MARINA shall enhance the awareness of the shipping companies on the requirements of the Code and formulate and maintain the necessary MARINA Auditor's Manual to ensure professional guidance in instituting the documentation/certification of the Code.

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This manual is structured in sections as defined in the Table of Contents and provides the guidelines, procedure and checklists on how the Administration implements the ISM Code in accordance with the requirements of the relevant IMO Conventions.


1.2 Policy Statement

The Administration shall constantly endeavour so as to ensure the safe operation of all Philippine registered ships, promote safety of life and property at sea and the protection of the environment through the implementation of the ISM Code following the procedures set under the MARINA Auditor's Manual (MAM).

1.3 Objectives

The MARINA Auditor's Manual is adopted to establish standard procedures for ISM Code audit and certification to:

- 1.3.1 ensure compliance with mandatory rules and regulations related to the safe operation of ships and protection of the environment;
- 1.3.2 ensure the effective implementation and enforcement thereof by the Administration;
- 1.3.3 provide guidance to auditors in auditing safety management systems , both at sea and ashore; and
- 1.3.4 provide guidance for ship owners, operators and others concerned on the procedures adopted for carrying out audits for compliance with the ISM Code.

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1.4 Verification and certification responsibilities


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

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

1.5 Management and Organization

1.5.1 MAM - Oversight Committee (OC):

- Chairman - The Administrator
- Vice-Chairman - The Deputy Administrators
- Members - The Director, MSS
- MRO Designated Representative(s)

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The MAM - Oversight Committee shall oversee the overall activities and shall provide guidelines and direction to the MAM - Technical Committee and the MSS/MRO Group to ensure smooth implementation of MAM. It shall also monitor the progress of the MAM - Technical Committee accomplishments as well as the future improvements of the system.


Functional Responsibilities:

- .1 To provide guidance/advice to address major issues/concerns affecting the implementation of the MAM;
- .2 To act as the final arbiter to settle disputes arising from the interpretation of policies regarding the MAM;
- .3 To approve all amendments to the MAM elevated by the MAM TC; and
- .4 To ensure continuous and proper implementation of the MAM.

1.5.2 MAM - Technical Committee (TC):

- | | |
|---------------|---------------------------------------------------------------|
| Chairman | Deputy Administrator for Operations |
| Vice Chairman | - The Director, MSS |
| Members | - MRO Designated Representative(s),
- Division Chief, MSAD |

The MAM - Technical Committee shall coordinate and assist the MAM - Oversight Committee in the formulation and revision of the necessary policies and guidelines relative to MAM implementation. It shall review the procedures and guidelines governing the activities of the MAM and ensure that all disputes arising from the interpretation of same are settled. It shall also report periodically the consolidated accomplishment reports and any proposed amendments to the MAM of the MSS / MRO Group to the MAM - Oversight Committee.

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Functional Responsibilities:

- .1 Assist the MAM - Oversight Committee in the formulation of policies and guidelines relative to the MAM;
- .2 Reviews procedures and guidelines governing the activities of the Group;
- .3 Settle disputes arising from the interpretation of policies and guidelines, including technical questions, that may arise from time to time relative to the implementation of the MAM;
- .4 Provide guidance to the MSS/MRO Group regarding the implementation of the MAM;
- .5 Study and analyze the received summary of non-conformities found during audit per ship/company basis which may include any incident/accident investigation reports and any proposed amendments to the MAM from the MSS / MRO group and submit its observation, findings and recommendation to the MAM - Oversight Committee.

1.5.3 MSS/MRO Group:

- | | |
|--------|-------------------------------------------------------|
| Leader | - Directors, MSS / MROs |
| Member | - Division Chiefs, MSAD / Audit Section
Head, MROs |

The MSS/MRO Group shall supervise the implementation of the MAM. It shall evaluate the audit reports/recommendations submitted by Audit Team/s and decide the issuance of ISM Code-related certificates. The Group shall submit report periodically to the MAM - Technical Committee. ISM Code-related certificates shall be issued upon recommendation of the Auditor/s and shall be signed by the Auditor/s and the MSS/MRO Director concerned. The Group shall submit reports periodically to the MAM - Technical Committee, as well as elevate issues/problems that require resolution by the MAM - Oversight Committee.

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Functional Responsibilities:

- .1 Exercise administrative and operational control over Audit teams;
- .2 Evaluate all submitted reports/recommendations/amendments;
- .3 Elevate to the MAM - Technical Committee matters requiring their attention;
- .4 Submit a quarterly report to the MAM - Technical Committee containing the summary of non-conformities found during audit per ship/company basis and any request for amendments to the MAM;
- .5 Review existing rules, regulations, and procedures relative to ISM audit; and
- .6 Evaluate proposal for amendments submitted by the audit teams.


1.5.4 Audit Team

- Leader - Lead Auditor
- Member(s) - Auditor(s), if required;

The Audit Team consists of a Lead Auditor and member auditor(s), if required, designated by the MSS/MRO Group. It shall be responsible for the conduct of audit and submission of audit report/s together with the corresponding recommendations to the MSS/MRO Group.

Functional Responsibilities:

- .1 Preparation of audit program and schedule;
- .2 Conduct of audit;

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- .3 Preparation/submission of audit report;
- .4 Submit Quarterly report to the MSS/MRO Group containing the summary of non-conformities found during audit per ship/company basis and any request for amendments to the MAM; and
- .5 Supervise and monitor the conduct of training of Audit Observer and recommend, if satisfied, to the MAM - Technical Committee for promotion to the next higher category of Auditor.


1.6 Documentation

All documents relative to the implementation of the MAM shall bear a “Header” described as follows:

- 1.6.1 The “Header” shall be divided into twelve (12) boxes;
- 1.6.2 The upper leftmost corner box shall bear the MARINA logo;
- 1.6.3 The box immediately to the right under item no. 1.6.2 shall bear the letter head of the MARINA, letters aligned to the left, to wit:

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 Department of Transportation and Communications
MARITIME INDUSTRY AUTHORITY
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 Manila

- 1.6.4 The box immediately below under item nos. 1.6.2 & 1.6.3 shall bear the manuals’ title: “MARINA AUDITOR’S MANUAL”;
- 1.6.5 The box immediately below under item no. 1.6.4 shall bear the table of contents, subject chapters, and appendices;

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1.6.6 The boxes provided under column 2 from leftmost column shall bear the following:

.1 Document No.:

- First three (3) letters indicates the MARINA Auditor's Manual, i.e. "MAM" ;
- Next marking after MAM indicates the particular chapter in an Arabic numeral, i.e. "1";
- Last marking indicates particular section of the manual, i.e. "1"; and
- Said markings under this caption that indicates next entry after the MAM and chapter are separated thru the signs "." and "-" for from and to sections.

.2 Revision No.:

- Indicates revision status of provision on a particular chapter/section in a Roman numerals;

.3 Date Revision:

- Indicates date when the provision on a particular chapter/section was revised/amended. Date shall be indicated in Arabic numerals, i.e. 10.25.2015 for August 25, 2015;

.4 Date Effective:


- Indicates date when the provision on a particular page becomes effective. Date shall be indicated in Arabic numerals, i.e. 10.25.2015 for August 25, 2015;

1.6.7 The upper rightmost corner box shall bear and indicates current page of section per chapter;

1.6.8 The three (3) boxes immediately below under item 1.6.7 shall bear the following:

.1 Reviewed by:

The group/officer(s) who will check and review the particular provision of the chapter/section of the manual;

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.1 Recommended by:

The committee/officer(s) who will recommend the particular provision of the chapter/section of the manual;


.2 Approved by:

The committee/officer(s) who will approve the particular provision of the chapter/section of the manual;

1.7 DOCUMENT CONTROL PROCEDURES.


The MAM shall be considered a controlled document and copies shall be marked individually as such by the Document Controller (Division Chief/MSAD).

- 1.7.1 The Document Controller (DC) shall ensure that all controlled documents and MAMs are maintained and amended/revised accordingly;
- 1.7.2 The DC shall transmit through a memorandum, the newly issued or revised copies of controlled documents to each copyholder reflected in the herein distribution list as provided in paragraph 1.9.
- 1.7.3 MSAD Chief/MRO Section Head are responsible for the communication of the newly-issued/revised copies of controlled documents to all concerned personnel in its jurisdiction and ensure that said documents/amendments are understood.
- 1.7.4 Obsolete documents shall be removed from the point of use and be marked "OBSOLETE" and replaced with up-to-date documents by the copyholder.
- 1.7.5 The DC shall retain a copy of the obsolete document as defined in paragraph 1.6.3 for a period of one (1) year.

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1.8 AMENDMENT PROCEDURES

- 1.8.1 Any MARINA Auditor may propose to the MSS/MRO Group an amendment to the MAM.
- 1.8.2 Any proposed amendment to the MAM shall be requested using the Document Change Request (DCR) Form.
- 1.8.3 The auditors are responsible for submitting the DCR Form together with the quarterly report to the MSS/MRO Group as defined in paragraph 1.5.4.4.
- 1.8.4 MSS/ MRO Group shall elevate all the evaluated DCR Form to the MAM - TC as defined in paragraph 1.5.3.4.
- 1.8.5 After evaluation, the MAM TC shall submit the proposed amendment as defined in paragraph 1.5.1.3.
- 1.8.6 Dissemination of approved amendments shall be as defined in paragraph 1.7.2 and 1.7.3.

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1.9 DISTRIBUTION LIST:

Copy No.	Copyholder
1	MARINA Administrator
2	Deputy Administrator for Operations
3	Deputy Administrator for Planning
4	Deputy Administrator for Regional Concerns
5	Director, MSS
6	Director, MRO I & II
7	Director, MRO IV
8	Director, MRO V
9	Director, MRO VI
10	Director, MRO VII
11	Director, MRO VIII
12	Director, MRO IX
13	Director, MRO X
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17	Director, MISS
18	Director, PPS
19	Document Controller


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2 SCOPE AND APPLICATION


2.1 Definition

For the purpose of this Manual the following terms shall be defined as follows:

- 2.1.1 **Administration** refers to the Maritime Industry Authority (MARINA).
- 2.1.2 **Anniversary date** refers to the day and month of each year that corresponds to the date of expiry of the relevant document or certificate.
- 2.1.3 **Clear Grounds** refers to the reasons for believing that a DOC/SMC does not substantially meet the requirements of the ISM Code. Examples are:
- .1 evidence of non-conformity or non-implementation of the ISM Code; and
 - .2 lack of objective evidence that the SMS for that type of ship has been implemented onboard.
- 2.1.4 **Company** refers to the owner of the ship or any other organization or person such as the manager, or the bareboat charterer, who has assumed the responsibility for operation of the ship from the shipowner and who, on assuming such responsibility, has agreed to take over all the duties and responsibility imposed by the ISM Code.
- 2.1.5 **Convention** refers to the International Convention for the Safety of Life at Sea, 1974 as amended.
- 2.1.6 **Disclaimer** refers to the following statement: “This audit is based upon a sampling process, when no non-conformities have been identified, it does not mean that others do not exist”.

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- 2.1.7 **Document of Compliance** refers to a document issued to a Company which complies with the requirements of the ISM Code.
- 2.1.8 **International Safety Management (ISM) Code** refers to the International Management Code for the Safe Operation of Ships and for Pollution Prevention as adopted by the International Maritime Organization (IMO) by resolution A.741(18), as amended.
- 2.1.9 **ISM Auditor** refers to a person performing audit of compliance with the requirements of the ISM Code that fulfills the personal qualification and other pertinent requirements contained in Annex A, Section A.2.
- 2.1.10 **ISM Lead Auditor** refers to a person in charge of, and is responsible for the conduct of audits of compliance with the requirements of the ISM Code who fulfills the personal qualification and other pertinent requirements contained in Annex A, Section A.2. He is also in charge of preparing the audit program and presenting the audit team to the company/ship.
- 2.1.11 **Major non-conformity** refers to an identifiable deviation that poses a serious threat to the safety of personnel or the ship or a serious risk to the environment that requires immediate corrective action or the lack of effective and systematic implementation of a requirement of this Code.
- 2.1.12 **Non-conformity** refers to an observed situation where objective evidence indicates the non-fulfillment of a specified requirement.
- 2.1.13 **Objective evidence** refers to a quantitative or qualitative information, records or statements of fact pertaining of safety or to the existence and implementation of a safety management system element, which is based on observation, measurement or test and which can be verified.

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2.1.14 **Observation** refers to a statement of fact made during a safety management audit and substantiated by objective evidence.

2.1.15 **Recognized Organization (RO)** refers to an organization recognized and authorized by the Administration to conduct/perform the audit necessary for issuance of either a (Interim) DOC or a (interim) SMC on behalf of the Administration.

2.1.16 **Safety Management Audit** refers to a systematic and independent examination to determine whether the SMS activities and related results comply with planned arrangements; whether these arrangements are implemented effectively, and are suitable to achieve objectives.

2.1.17 **Safety Management Certificate (SMC)** refers to a document issued to a ship which signifies that the Company and its shipboard management operate in accordance with the approved safety management system.


2.1.18 **Safety Management System (SMS)** refers to a structured and documented system enabling Company personnel to implement effectively the Company safety and environmental protection policy.

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2.2 Scope and application

This manual establishes basic principles for:


- 2.2.1 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;
- 2.2.2 carrying out the interim, initial, annual, intermediate and renewal verification(s) of the Document of Compliance and Safety Management Certificate and the issuing/endorsement of corresponding documents; and
- 2.2.3 the scope of the additional verification.

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3 VERIFYING COMPLIANCE WITH THE ISM CODE

3.1 General

- 3.1.1 To comply with the requirements of the ISM Code, companies should develop, implement and maintain a documented 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.
- 3.1.2 Administration 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.
- 3.1.3 Determining the conformity or non-conformity of safety management system elements with the requirements specified by the ISM Code may demand that criteria for assessment be developed. The Administration is 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, operation or ship. Therefore, particular operations should be *ship specific* and fully reflected in manuals, procedures and instructions.
- 3.1.4 Therefore, the Administration is 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 the companies' compliance with the Code.


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3.2 Ability of the safety management system to meet general safety management objectives

The ISM Code identifies general safety management objectives in section 1.2.2. The verification should support and encourage companies in achieving these objectives, which provide clear guidance to companies for the development of safety management system elements in compliance with the ISM Code. However, the ability of the safety management system to achieve these objectives cannot be determined beyond whether the safety management system complies with the requirements of the ISM Code. Therefore, the objectives 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.

3.3 Ability of the safety management system to meet specific requirements of safety and pollution prevention

- 3.3.1 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 are specified in section 1.2.3 of the ISM Code.
- 3.3.2 All records having the potential to facilitate verification of compliance with the ISM Code should be open to scrutiny during an examination. These may include records from delegated SMS tasks. 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.
- 3.3.3 Specific arrangements may be required to ensure compliance with the ISM Code and to provide the objective evidence needed for verification in these cases, such as:


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- .1 documented procedures and instructions;
- .2 documentation of the verification carried out by senior officers of day-to-day operations when relevant to ensure compliance; and
- .3 relevant records of the ships being operated by the Company, e.g. flag State records, port State controls, class and accident reports.

3.3.4 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.

3.3.5 Administration should ensure that the Company has:

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

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4 CERTIFICATION AND VERIFICATION PROCESS

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

- .1 interim verification;
- .2 initial verification;
- .3 annual or intermediate verification;
- .4 renewal verification; and
- .5 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. The verifications will include an audit of the safety management system.

4.1 Interim verification

- 4.1.1 Interim certification may be issued under certain conditions as specified by the ISM Code and should facilitate the implementation of a safety management system.
- 4.1.2 ISM-related applications shall be filed at the nearest MARINA unit where the company hold its principal office or where its ship(s) is homeported.
- 4.1.3 The process of interim Document of Compliance verification of the management system undertaken by the Administration would require


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an assessment at the Company's offices in accordance with paragraph 14.1 of the ISM Code.

- 4.1.4 On satisfactory completion of the assessment of the shoreside safety management system, arrangements/planning may commence for the assessment of applicable ships in the Company's fleet.
- 4.1.5 The process of interim verification of the ship should be undertaken by the Administration to ensure that the ship is provided with a safety management system, in accordance with paragraph 14.4 of the ISM Code.
- 4.1.6 On satisfactory completion of the interim verification, an Interim Document of Compliance will be issued to the Company; copies should be made available by the Company to every shoreside premises and each applicable ship in the Company's fleet. As each ship is assessed and issued with an Interim Safety Management Certificate, a copy of the certificate should also be forwarded to the Company's head office.

4.2 Initial verification

- 4.2.1 ISM-related applications shall be filed at the nearest MARINA unit where the company holds its principal office or where its ship(s) is homeported.
- 4.2.2 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 which may include delegated safety management system tasks, depending on the Company's organization and the functions at the various locations.

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


4.2.4 On satisfactory completion of the assessment, a Document of Compliance will be issued to the Company, copies of which should be made available 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.

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

4.2.6 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 verification of 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 verification 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 it includes 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 and ashore should be available, including, inter

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alia, records from the internal audit performed by the Company.

4.3 Annual verification of Document of Compliance

- 4.3.1 The DOC audit will take place at the company's principal place of business. This will normally be the office from which the Designated Person operates.
- 4.3.2 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.
- 4.3.3 Annual verification is to be carried out within three months before and after each anniversary date of the Document of Compliance.
- 4.3.4 Where the Company has more than one shoreside premises and/or delegates safety management system tasks, the annual assessments should endeavor to ensure that all sites are assessed during the period of validity of the Document of Compliance.
- 4.3.5 During the annual verification, administrations should verify if the Company is operating all ship types on the Document of Compliance. Appropriate action should be taken if the Company has stopped operating a particular ship type.

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4.4 Amending the DOC to include new ship types

4.4.1 When a company decides to expand its scope of operations to include additional ship type(s) an Interim audit will be required prior to the expansion of operations. This audit is intended to ensure that the necessary provisions are in place within the SMS to manage the additional ship type(s). Following a successful audit an Interim DOC, valid for no more than 12 months, should be issued to cover the new ship type(s). The existing DOC will remain unaffected for the period of validity of the Interim DOC


4.4.2 When sufficient objective evidence has been compiled to prove that the SMS is effectively implemented in respect of the new ship type(s), the

Company should be revisited prior to the expiry of the Interim DOC. Following a successful audit, both the Interim and full term DOC's should be withdrawn and a new DOC issued that includes the additional ship type(s). The expiry date of the new DOC should coincide with the expiry date of the original full term DOC.

4.4.3 During the period of validity of the Interim DOC the new ship types will carry a copy of the Interim DOC together with their Interim SMC's. It must be noted that only an Interim SMC can be issued on the back of an Interim DOC. The existing ships of the fleet will be unaffected and will hold copies of the full term DOC.

4.5 Intermediate verification of Safety Management Certificates

4.5.1 Intermediate safety management audits should be carried out to maintain the validity of the Safety Management Certificate. 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

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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.

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


4.6 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 three months before the date of expiry of the Document of Compliance or the Safety Management Certificate, and should be completed before the date of expiry.

4.7 Additional verification

- 4.7.1 The Administration may, where there are clear grounds, require an additional verification to check if the safety management system still functions effectively. Additional verifications may be carried out following situations beyond normal procedures such as port State control detentions, or in the case of reactivation after the interruption of the operations due to a period out of service, or in order to verify that effective corrective actions have been taken and/or are being properly implemented. Additional verifications may affect the shore-based organization and/or the shipboard management system. The Administration should determine the scope and depth of the verification, which may vary from case to case. The additional verifications should be completed within the time period agreed,

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taking into account guidelines developed by the Organization. The Administration should follow up on the results of the verification and take appropriate measures, as necessary.

- 4.7.2 On satisfactory completion of the shipboard assessment, the Safety Management Certificate should be endorsed for additional verification .

4.8 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 the interim, annual, intermediate, additional and renewal verification should be based on the same principles, even if their scope may be different.

4.9 Application for audit

- 4.9.1 ISM-related applications shall be filed at the nearest MARINA unit where the company hold its principal office or where its ship(s) is homeported.

- 4.9.2 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.

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

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4.10 Document Review and Planning

The purpose of the document review is to verify that the Company has a documented SMS that addresses the requirements of the ISM Code prior to an Initial DOC audit. Following the receipt of an application requesting an Initial DOC audit and the appropriate fees, the Administration will review the SMS documentation as part of the pre-audit assessment.

The documents used to define and implement the SMS may be described as the Safety Management Manual. It may be more than one Manual and take the form that the company considers most appropriate. As a basis for planning the audit, the auditor should review the Safety Management Manual to determine the adequacy of the SMS in meeting the requirements of the ISM Code. The documents submitted should be the latest revision issued by the Company. The document review should take place at least two weeks prior to the proposed audit. If it is established that the System is inadequate, the audit may be delayed until the Company has undertaken corrective action. The document review will provide an overview of the management structure and SMS used by the Company and assist the auditor(s) in developing an audit plan

4.11 Preparing the audit

4.11.1 The auditor should review the relevant safety performance records of the Company and take them into consideration when preparing the audit plan, for example, flag State records, port State controls, and class and accident reports.

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

4.11.3 The auditor should provide the working documents which are to govern the execution of the audit in order 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.

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4.11.4 The audit team should be able to communicate effectively with the auditee.

4.12 Executing the audit


4.12.1 The audit should start with the lead auditor conducting the 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.

4.12.2 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.

4.12.3 The objective 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.

4.12.4 Audit findings should be documented. After activities have been audited, the audit team should review the objective evidence collected. This should then be used to determine what is to be reported as major non-conformities, non-conformities or observations, and should be reported in terms of the general and specific provisions of the ISM Code.

4.12.5 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

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purpose is to present the observations in such a way as to ensure that the results of the audit are clearly understood.

4.13 Audit report

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

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

4.13.3 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.

4.14 Corrective action follow-up

4.14.1 The Company is responsible for determining and initiating the corrective action needed to correct the determined root-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.

4.14.2 Corrective actions and possible subsequent audits should be completed within the time period agreed. For corrective actions this should not normally exceed three months. The Company should apply for the follow-up audits as agreed.

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4.14.1 Several non-conformities in the same area of operation may be raised as a single major non-conformity. Similarly a number of observations under the same section of the Code may be issued as a single non-conformity


4.14.2 Failure to take adequate corrective actions, in compliance with the requirements of the ISM Code, including measures to prevent recurrence, may be considered as a major non-conformity.

4.15 Company responsibilities pertaining to safety management audits

4.15.1 The verification of compliance with the requirements of the ISM Code does not relieve the Company, management, those undertaking delegated safety management system tasks, officers or seafarers of their obligations as to compliance with national and international legislation related to safety and protection of the environment.

4.15.2 The Company is responsible for:

- .1 informing relevant employees and those undertaking delegated safety management system tasks 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 cooperating with the verification team to permit the certification objectives to be achieved.

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4.15.1 Where major non-conformities are identified, Administrations and recognized organizations (ROs) should comply with the procedures stated in the Procedures concerning observed ISM Code major non-conformities (MSC/Circ.1059-MEPC/Circ.401).

4.16 Responsibilities of the organization performing the ISM Code certification


The organization performing the ISM Code certification is responsible for ensuring that the verification and certification process is performed according to the ISM Code and this manual.

4.17 Responsibilities of the verification team

4.17.1 Whether or not the verifications involved with certification are performed by a team, one person should be in charge of the verification. The lead auditor 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.

4.17.2 Member auditors 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.

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4.18 Withdrawal of Certificates

4.18.1 Document of Compliance

A DOC is to be declared invalid if:

- .1 corrective actions are not completed within the agreed schedule;
- .2 An annual verification is not undertaken;
- .3 a renewal verification is not undertaken;
- .4 amendments to the ISM Code are not taken into account; and
- .5 there is evidence of a major non-conformity.


4.18.2 Safety Management Certificate

A SMC is to be declared invalid if:

- .1 any of the conditions of paragraph 1.4 are not met;
- .2 corrective actions are not completed within the agreed schedule;
- .3 a periodical audit is not undertaken;
- .4 a renewal audit is not undertaken;
- .5 amendments to the ISM Code are not taken into account; and
- .6 there is evidence of a major non-conformity.

4.19 Restoration of Certificates

A DOC or a SMC invalidated by expiry or withdrawal may only be reinstated upon satisfactory completion of an audit equivalent to an initial audit following the procedures specified in paragraph 4.2.

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4.20 Communications

4.20.1 Document of Compliance

The Administration having invalidated a DOC because of one of the reasons given in paragraph 4.18.2 shall immediately notify the Company who requested the certification.

Organizations recognized by the Administration, having invalidated a DOC because of one or more of the reasons given in paragraph 4.18.2 shall immediately notify the Administration of said invalidation.


The Company is responsible in notifying immediately all affected ships on the invalidation of their DOC.

4.20.2 Safety Management Certificate

The Administration having invalidated a SMC because of one of the reasons given in paragraph 4.18.3 shall immediately notify the Company who requested the certification.

Organizations recognized by the Administration, having invalidated a SMC because of one of the reasons given in paragraph 4.18.3 shall notify the Administration.

4.20.3 When different organizations are involved in the issuance of Documents of Compliance (DOC) and Safety Management Certificates (SMC) for the same Company, arrangement shall be made for appropriate communications between the organizations with regard to exchange of relevant information.

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ANNEX A – STANDARDS FOR ISM CODE CERTIFICATION SERVICES		

ANNEX A - STANDARDS FOR ISM CODE CERTIFICATION SERVICES

A.1 GENERAL

A.1.1 The Administration performing the audits of compliance with the ISM Code should have the competence with respect to:

- .1 the mandatory rules and regulations with which the Company is to ensure compliance;
- .2 the approval, survey and certification activities relevant to the statutory certificates issued under applicable Conventions;
- .3 the applicable codes, guidelines and standards recommended by IMO and Administrations; and
- .4 audit of management.

A.1.2 Management of the ISM Code certification services shall ensure that the auditor(s) meet the relevant education, training, work experience, audit experience and competence requirements listed herein.

A.1.3 The qualification and experience of the auditor(s) conducting the audit for a DOC or a SMC shall be adequate to address all aspects contained in paragraph A.1.1.


A.1.4 The Administration performing ISM Code certification is to implement and maintain a documented system for training, qualification, certification and periodic updating of the knowledge of auditors. This system should comprise theoretical training courses covering all the competence requirements listed herein and the appropriate procedures connected to the certification process, as well as practical training. The system shall provide documented evidence of satisfactory completion of the training and qualification requirements.

A.2 PERSONNEL QUALIFICATIONS

A.2.1 Education

Personnel participating in the audit of compliance with the requirements of the ISM Code are to have a minimum educational qualification according to the following:

- .1 a qualification from a marine or nautical institution to include experience in ship operations; or

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- .2 a qualification from a technical institution with a degree majoring in naval architecture and marine engineering, mechanical engineering, electrical engineering, civil engineering or other related physical science;
- .3 R.A. 1080 Civil Service Eligible or Civil Service Professional or Sub-Professional; and
- .4 personnel should be proficient in the agreed language of the audit.

A.2.2 Training

Personnel performing audits of compliance with the requirements of the ISM Code shall have received formal training conducted by nationally and internationally recognized organization in the field of ISM Code certification, to ensure adequate competence and skills, with respect to at least:

- .1 knowledge and understanding of the ISM Code;
- .2 the mandatory rules and regulations;
- .3 the applicable codes, guidelines and standards recommended by IMO, Classification Societies and Maritime Industry Organizations;
- .4 audit techniques for examining, questioning, evaluating and reporting findings;
- .5 technical and operational aspects of safety management; and
- .6 knowledge of shipping and shipboard operations.


Such a competence should be demonstrated through written and/or oral examinations or other acceptable criteria.

A.2.3 Work Experience

Personnel performing audits of compliance with the requirements of the ISM Code are to have work experience related either to management system audits, classification or statutory certification surveys, or the technical and operational aspects of ship safety management, or a combination of the three.

A.2.4 Audit Experience of ISM Auditors

Personnel performing audits in compliance with the requirements of the ISM Code, as ISM Auditors should either be an auditor who has fulfilled the

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requirements of an equivalent national standard or shall have acquired, as a minimum, the audit experience indicated below:

- .1 for initial or renewal audits of a DOC, auditors should have participated in at least two (2) ISM Code initial or renewal audits of a Company under the supervision of an ISM Lead Auditor;
- .2 for initial or renewal audits of a SMC, auditors should have participated in at least two (2) ISM Code initial or renewal audits of a ship under the supervision of an ISM Lead Auditor;
- .3 for annual or additional audits of a DOC, auditors should have participated in at least two (2) ISM Code initial, additional, renewal or annual audits of a Company under the supervision of an ISM Auditor; and
- .4 for intermediate or additional audits a SMC, auditors should have participated in at least two (2) ISM Code initial, additional, renewal or intermediate audits of a ship under the supervision of an ISM Auditor.

A.2.5 Audit Experience of ISM Lead Auditors

Personnel performing audits in compliance with the ISM Code as ISM Lead Auditors are to have participated as a qualified ISM Auditor in five (5) initial or renewal audits of Companies and ships, as a minimum, or have undergone training as ISM lead auditor.

A.3 COMPETENCE FOR AUDITS


A.3.1 Initial and Renewal Audits

Initial and renewal Audits are to be performed, as a minimum by:

- .1 an ISM Lead Auditor, for the initial audit of a Company and ship; and
- .2 an ISM Auditor, for the renewal audit of a Company and ship.

Having the competence to fully evaluate compliance with the requirements of the ISM Code by determining, inter alia:

- .1 the conformity or non-conformity of SMS elements with the requirements of the ISM Code;
- .2 the effectiveness of the Company SMS, or that of the ship, to ensure compliance with relevant rules and regulations as evidenced by the statutory and classification records;

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- .3 the effectiveness of the SMS in ensuring compliance with other rules or regulations which are not covered by statutory and classification surveys; and
- .4 whether the safe practices recommended by the IMO, the Administration, classification societies and maritime industry organizations have been taken into account in the SMS.

Where, due to the size or complexity of the Company or the size and type of a ship, the required competence and capacity requires the use of a team of ISM Auditors, the MSAD/Section Chief shall organize them.

The actual audit will be conducted by the audit team and will be led by an ISM Lead Auditor who shall be designated by the MSAD Chief/MRO Section Head.

A.3.2 Annual/Intermediate and Additional Audits

Annual/Intermediate and additional audits of a Company or a ship are to be performed by an ISM Auditor, having the competence to fully evaluate compliance with the requirements of the ISM Code by determining, inter alia:

- .1 the effective functioning of the Company SMS or the shipboard SMS;
- .2 continuing compliance of the Company or the ship with relevant rules and regulations as evidenced by the statutory and classification records; and
- .3 continuing compliance of the Company or the ship with other rules and regulations not subject to survey for maintaining the validity of the other Convention certificates;
- .4 Closing-out of major non-conformity/ties, if any;
- .5 Modifications introduced in company/ship SMS comply with the provisions of the ISM Code.

Where due to the size or complexity of the Company or the size and type of a ship, the required competence and capacity requires the use of a team of ISM Auditors, the MSAD Chief/MRO Section Head shall organize them and the audit led by an ISM Lead Auditor.